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ABSTRACT

Based on information in Department of Education files and further comments from former project directors, this historical review of projects funded from fiscal years 1978 to 1981 under Title II-C of the Higher Education Act (HEA II-C) of 1965, as amended in 1976, looks at projects in collection development, preservation and conservation of major research library resources, and coordinated bibliographic control of serials and monographs. The need for nationwide bibliographic access to research library resources, the objectives and achievements of funded HEA II-C projects, and the mechanics of the HEA II-C program are described. It is recommended that future HEA II-C funding should support innovative demonstration projects which use new techniques to facilitate the information cycle, specifically to expose the research community to library resources and to disseminate information through alternative communication channels. Appendices consist of a summary of individual project achievements, sample scoring instruments for ranking project achievements, a list of the highest ranked scores by project by year, details of individual project budgets, the 1979-80 Association of Research Libraries (ARL) Library Index, and sample project analysis forms. A 48-item bibliography and 19 tables, charts, and graphs are provided. (ESR)

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HISTORICAL REVIEW OF PROJECTS FUNDED UNDER TITLE II-C OF THE HIGHER EDUCATION ACT OF 1965: STRENGTHENING RESEARCH LIBRARY RESOURCES, 1978-1981

a commissioned paper

by

Abigail Studdiford

Prepared for the United States Department of Education, Office of Educational Research and Improvement, Office of Libraries and Learning Technologies. (The contents of this paper do not necessarily reflect the views or policies of the Department of Education.)

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HISTORICAL REVIEW OF HEA II-C: 1978-1981

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I. INTRODUCTION

A. Purpose of this Report

The national program to strengthen the library resources of research institutions was authorized as Part C of Title II of the Higher Education Act (HEA) of 1965 as amended in 1976 as Public Law 94-482 on October 12, 1976. The HEA II-C program was affected by the Education Amendments of 1980 as well (PL 96-374). Grants were awarded under the provisions of the program for fiscal 1978, 1979, 1980, and 1981; the program is funded for 1982 and, although authorized for 1983, funding is uncertain at this writing. It is the purpose of this report to provide a written historical review of projects funded during the initial four years of the HEA II-C program: FY '78 - '81. This review and its objectives were commissioned by the U.S. Department of Education in October 1981.

The expectation of this historical perspective is that it will compare the objectives and accomplishments of HEA II-C funded projects with priorities for action which address national need, specifically:

1. Collection development to strengthen major research library resources;

2. Preservation and conservation of major research library resources; and

3. Coordinated bibliographic control of serials and monographs along with bibliographic access to the resources of major research libraries.

Thus, this review will concentrate on those funded project objectives which addressed these three areas of special concern to major research libraries, where the term "major research library" is defined to include an institution of higher education, an independent research library, a State Library or other public library having collections of national research significance. A summary of awards for each of the four fiscal periods follows, with an indication of the level of funds directed to each of the three areas of special interest.

HEA II-C
Strengthening Research Library Resources Program
Program Activities Fiscal Year 1978-1981

FY	Collection Development	Preservation	Bibliographic Control	Total Funding
1978	$ 795,103	$1,340,554	$ 2,864,339	$ 4,999,996
1979	$ 628,433	$1,393,201	$ 3,978,366	$ 6,000,000
1980	$ 841,120	$ 805,383	$ 4,345,765	$ 5,992,268
1981	$ 427,253	$1,298,542	$ 4,274,205	$ 6,000,000
Total	$2,691,909	$4,837,680	$15,462,675	$22,992,264[1]

The framework of this report is built on six components, from which a picture of HEA II-C is expected to emerge; in the course of the following chapters I will,

1. Describe national needs as related to research library resources in the areas of collection development, preservation, and bibliographic control and access. While there may be no clear agreement on what the national research library needs are, there is a substantial body of literature produced from the 1950's which addresses national priorities for action.

2. Compare stated project goals and their related objectives and achievements to the statements of national need which undergird the Title II-C Program, looking for evidence of compatibility or incongruity. Projects funded in FY 81 will obviously not lend themselves to an evaluation of achievement, as funding began simultaneously with this historical review, however the objectives of the FY 81 projects will be considered with those of the three earlier years.

3. Describe project goals and specific objectives which were not met, identifying if possible, the obstacles which prevented achievement. Analysis of failed objectives should also provide information about areas which need continued additional support to meet national needs of research libraries. Patterns emerging from this analysis might be useful as a basis for making recommendations about future funding for library projects.

4. Describe the goals and plans of the project institution if the funded activity was to be continued beyond the grant period. It is hoped that information gathered can be used to assess the longterm institutional commitment to project goals, as developed for the purposes of securing grant funding under the provisions of HEA II-C.

5. Describe other similar bibliographic and preservation projects at major research libraries which are supported by other Agency or foundation funding, such as by the National Endowment for the Humanities, Council on Library Resources, Mellon, or others, comparing these project goals and achievements with HEA II-C funded projects.

6. Attempt to identify project objectives which address national need still outstanding, draw conclusions and make recommendations about the functions of the HEA II-C program in its ability to address the needs of major research library resources.

B. Background of Authorization and Appropriations for Awards under HEA II-C

The program to strengthen the resources of major research libraries, including their ability to share those resources and to preserve them for future use by the scholarly research community, had its origins in the Higher Education Act of 1965, as amended in 1976.

When the U.S. House of Representatives reviewed amendments to the Higher Education Act of 1965, it considered a proposal to strengthen college and research library resources through a three-pronged program which would provide funds to the Library of Congress to:

1. acquire copies of all library materials currently published throughout the world, of value to scholarship;

2. provide cataloging information and distribute it by printed cards and other means;

3. enable the Library of Congress to pay administrative costs of cooperative arrangements for acquiring library materials published outside the United States (House Report 94-1086).[2]

It was the Senate Report (94-882) which added the present part C to Title II, the College Library Assistance and Library Training and Research Programs. The Conference Report (94-1701) notes that "The Senate bill, but not the House, adds a new part C to Title II for major research libraries, including institutional, independent, and public research libraries. The House recedes with an amendment that the maximum number of libraries that may be assisted

is 150."[3]

The President signed the Education Amendments of 1976 (Public Law 94-482) on October 12, 1976, as enacted by Congress. Authority for this major research library program is contained in sections 231-236 of Part C of Title II of the Higher Education Act of 1965, as amended by section 107 of the Education Amendments of 1976 (90 STAT. 2090), which is reproduced on the following page.

The Regulations which implemented section 107 of the Education Amendments of 1976 and governed the award of grants to eligible major research libraries was issued in the Federal Register, Wednesday, December 28, 1977 (42 FR 64836). These regulations appeared as part 136 of Title 45 of the General Education Provisions, a numbering system which remained in effect for awards made in fiscal 78, 79 and 80 until changed to accommodate provisions of the Education Department General Administrative Regulations (EDGAR), its 34 CFR part 778. While the change in numbering systems introduces the appearance of confusion, the revisions themselves are fairly straightforward. Discussions of the intent and interpretation of certain regulations which follow in later chapters of this report refer to both numbering systems, where necessary and appropriate; for instance, "Eligibility for Assistance," defined by section 136.04 of the initial regulations and

REVISION OF RESEARCH LIBRARY RESOURCES

SEC. 107. Part C of title II of the Act is amended to read as follows:

"PART C—STRENGTHENING RESEARCH LIBRARY RESOURCES

"FINDINGS AND PURPOSE

20 USC 1041.

"SEC. 231. (a) The Congress finds that—

"(1) education, scholarship, and research are significant to the scientific, economic, and cultural development of the Nation, and that steady advances in the social and natural sciences are essential to solve the problems of a complex society;

"(2) the Nation's major research libraries are often an essential element in undergraduate education, and are essential to advanced and professional education and research; and

"(3) the expansion in the scope of educational and research programs and the rapid increase in the worldwide production of recorded knowledge have placed unprecedented demands upon major research libraries, requiring programs and services that strain the capabilities of cooperative action and are beyond the financial competence of individual or collective library budgets.

"(b) It is the purpose of this part to promote research and education of higher quality throughout the United States by providing financial assistance to major research libraries.

"APPROPRIATIONS AUTHORIZED

20 USC 1042.

"SEC. 232. There are authorized to be appropriated $10,000,000 for the fiscal year 1977, $15,000,000 for fiscal year 1978, and $20,000,000 for fiscal year 1979.

"ELIGIBILITY FOR ASSISTANCE

"Major research library."
20 USC 1043.

"SEC. 233. For the purposes of this part, the term 'major research library' means a public or private nonprofit institution, including the library resources of an institution of higher education, an independent research library, or a State or other public library, having library collections which are available to qualified users and which—

"(1) make a significant contribution to higher education and research;

"(2) are broadly based and are recognized as having national or international significance for scholarly research;

"(3) are of a unique nature, and contain material not widely available; and

"(4) are in substantial demand by researchers and scholars not connected with that institution.

"(b) No institution receiving a grant under this part for any fiscal year may be eligible to receive a basic grant under section 202 of this title for that year.

"EQUITABLE DISTRIBUTION OF ASSISTANCE

20 USC 1044.

"SEC. 234. The Commissioner shall establish criteria designed to achieve regional balance in the allocation of funds under this part which is reasonable in light of the requirements of section 233.

Supra.

"LIMITATIONS

"SEC. 235. (a) No grant may be made under this part for books, periodicals, documents, or other related materials to be used for sectarian instruction or religious worship, or primarily in connection with any part of the program of a school or department of divinity. 20 USC 1045.

"(b) Not more than 150 institutions may receive a grant under this part.

"CONSULTATION WITH STATE AGENCY

"SEC. 236. Each institution receiving a grant under this part shall periodically inform the State Library administrative agency and the State agency, if any, concerned with the educational activities of all institutions of higher education in the State in which such institution is located, of its activities under this part.". 20 USC 1046.

section 778.5 of EDGAR, is given the dual designation 136.04/778.5, as reference to both sets of regulations.

Time Table of HEA II-C Development

Nov. 8, '65	Education Act of 1965, PL 89-329
Oct. 12, '76	Education Amendments of 1976, PL 94-482 section 107 enacts a new part C of Title II to "strengthen Research Library Resources"
Nov. 22, '76	Notice of Intent to Issue Regulations with a call for public input (41 FR 51550)
Je 6, '77	Proposed Rules Issued with a call for comment (42 FR 28899)
Dec. 28, '77	Final Regulations Issued as part 136 of Title 45 of General Ed Provisions (42 FR 64836)
Oct. 3, '80	Education Amendments of 1980 (PL 96-374)
Apr 3, '80	Revised Regulations to accommodate provisions of EDGAR and changes of selection criteria, with call for comment (45 FR 22820)
Nov. 14, '80	Notice of Intent to Publish Regulations to implement Education Amendments of 1980 with call for comment (45 FR 75562) (NOTE: insufficient time was allowed to receive public comment)
Dec. 24, '80	Final Regulation Issued now codified in Title 34 part 778 of the Code of Federal Regulations, along with other Department of Education Regulations (45 FR 85430)
Mar 27, '81	Notice of Intent to Review and Amend with call for comment (46 FR 19000)

Oct. 28, '81 Notice of Proposed Rulemaking with call for comment (46 FR 53370)

Pending '82 Final Regulation Issued

Shaping Public Policy

Testimony received during Senate and House consideration of the Education Amendments of 1976 shaped a new part C of Title II, designed to promote research and education of higher quality throughout the United States by providing financial assistance to major research libraries. The statute directs the Commissioner of Education to establish criteria designed to achieve regional balance in the allocation of funds under the program. It also provides that not more than 150 institutions may receive a grant under the program. The "Notice of Intent to Issue Regulations" was published in the Federal Register Monday, November 22, 1976 with request for public input on the following nine questions:

1. "Is there a need to amplify in the regulations the definition of "major research library" in the statute? If so, in what way?

2. How should each of the various elements of the statutory definition of "major research library" be established for each applicant: for example, through information provided in the application?

3. For what specific purposes should grant funds be used? What limits, if any, should the regulation impose upon the allowable expenditures under grants?

4. What level of grant funds needs to be provided in particular awards in order for the program to strengthen research library resources?

5. If Federal funds are limited, should many small grants be made or a few large ones?

6. What should be the duration of Federal support to a particular grantee under the program?

7. What criteria should be established to achieve regional balance in the allocation of program funds?

8. What other evaluation criteria should be established to govern award decisions?

9. What type of information should be requested in the application?"[4]

Forty-five letters were received by the Commissioner which responded to the issues raised about the Strengthening Research Library Resources program. These letters were from "library associations, institutions of higher education, state agencies and public libraries located in 26 states and the District of Columbia."[5] The essence of the comments has been distilled here, extracted from the report in the Federal Register of June 6, 1977.

> ELIGIBILITY FOR ASSISTANCE: "While many commenters felt that there was no need to amplify the statutory definition of a 'major research library' in the regulation, many other commenters suggested specific standards they thought should be in the definition, such as number of volumes, size of staff, annual acquisitions, accessibility through interlibrary loans, and uniqueness within geographic or subject areas." The response, in part, from the Commissioner was that the "development of stringent eligibility standards would needlessly bog the program down in interpretive issues to exclude libraries from the opportunity to compete for a grant. The proposed regulations thus includes a liberal eligibility test and is designed to shift emphasis from rigid

eligibility standards to the competitive review of applications under the evaluation criteria." The regulations "do not establish any minimum threshold tests of what 'library collections' are." Several commenters felt that a smaller library with a major research collection should be eligible for assistance. The response was that "there is nothing in the proposed regulation that precludes such a library from applying, provided that the elements of the statutory definition are met." Other commenters were concerned about the eligibility of medical libraries and consortia.

USE OF GRANT FUNDS: "The majority of commenters felt that grant funds should be used for library resources and materials, including the costs of materials, processing, catalogs or guides, data bases for computer input, networks, and interlibrary loan costs. A number of commenters also felt that grant funds should be used only to build and maintain existing collections."

LEVEL OF GRANT FUNDS: "The majority of commenters were in favor of grants ranging from $25,000 or $50,000 up to $250,000 or $500,000. Two commenters felt that the level of grant funds should be computed as a percentage of the institution's library budget. Several commenters felt that there should be no restrictions set in the regulation, since the level of grant funds would depend upon such factors as the amount of appropriations and decisions of application review panels."

DURATION OF FEDERAL SUPPORT: "Most commenters were in favor of multi-year support. Several commenters suggested from 2 to 3 years up to 5 years."

REGIONAL BALANCE: "Several commenters felt that every State should receive a grant. Other commenters felt that regional balance should be achieved on the basis of geographic and demographic criteria, such as a high point count based on population density of either the institution's environs or its users. Several others suggested dividing the United States into specific regions and awarding at least one grant to each region." In response, "the proposed regulation provides for regional areas and the award of extra points" to help achieve regional balance.[6]

As the next step and in keeping with the spirit of

the public input, the "Proposed Rules" were issued, with a call for comment and recommendation, in the Federal Register, Monday, June 6, 1977. During the forty-five days allowed for comments in response to the proposed rule, approximately thirty-eight comments were received, largely supportive. While many of the suggestions were similar to those received in response to the initial call, at least three commenters "questioned the emphasis in the proposed regulation on interlibrary loans and resources sharing on a national and inter-state basis as being a slow, costly, and ineffective method of utilizing grant funds." No change was deemed necessary in the regulation, primarily because

> "the Senate Report (94-882) clearly emphasizes the importance of making the resources of a major research library available to researchers and scholars beyond the library's primary clientele as a central purpose of the program. The statute itself defines a major research library in terms of the national or international significance of its collections, their uniqueness, and the substantial demand for them by researchers and scholars not connected with the library."[7]

The "Final Regulation" was issued in the Federal Register, Wednesday, December 28, 1977; this version of the "Final Regulation" governed awards in FY 78, FY 79, FY 80, FY 81, and FY 82, with some changes in the point structure used to score an application.

In 1980, the Higher Education Act of 1965 was amended by the Education Amendments of 1980; (PL 96-374) the

regulations were revised to reflect changes mandated by the Amendments and the provisions of the Education Division General Administration Regulations (EDGAR). The proposed changes were published in the Federal Register, April 3, 1980, including recommendations about the selection criteria and deletion of the limitation that "no more than 150 institutions could receive a grant under the program in any fiscal year." The new numbering system for the program was introduced with this issue, changing Section 136 to Section 778.

In December 1980, the Secretary of the Department of Education issued revised regulations for the Strengthening Research Library Resources Program.[8] The revised regulations were substantially the same as the previous regulations, however insufficient response time had been allowed for comment and public input so the regulations did not take effect as expected. Thus, on March 27, 1981, the Secretary "announced his intention to review and, as appropriate, amend certain regulations in an effort to comply with the requirements of Executive Order 12291 and its overall objective to reduce regulatory burden."[9]

In October 1981, the Secretary issued a "Notice of Proposed Rulemaking" to revise the final regulations for the HEA II-C program which (1) reorganize the current regulations, (2) reduce program requirements, and (3) implement statutory changes made by the Education Amendments

of 1980.[10] Comment was to have been received by December 14, 1981, and is expected to shape the regulations for their final form.

Appropriations

The statutory authorization of funds for HEA II-C was $10,000,000 for fiscal year 1977; $15,000,000 for fiscal year 1978; and $20,000,000 for fiscal year 1979. The actual appropriations for the four years of this study were somewhat different; '77 did not have an appropriation.

In the closing date notice for fiscal year 1978, the first year of funding for HEA II-C, potential applications were notified that the amount of funds available would be $5,000,000 with a limit of a maximum of 150 grants.

The closing date notice for fiscal year 1979 reported that approximately $5,000,000 would be available, of which about $2,750,000 would be available for 11 new projects; the remaining $2,250,000 would support the 9 non-competing continuation projects.

For fiscal year 1980, it was expected that approximately $6,000,000 would be available to strengthen research library resources. It was estimated that these funds could support about 12 new projects with $2,500,000 and 14 non-competing continuation grants at $3,500,000.

The funding expectation had not changed for fiscal

year 1981, with $6,000,000 available. However, it was estimated that the funds could support up to 36 new projects with approximately $5,000,000 and support 4 non-competing continuation grants with $1,000,000, reflecting a policy change with regard to the number of multi-year projects.

A summary of funding requests and project starts is shown as Table 1 on the following page. There is a discrepancy between the number of additional institutional partners counted in this study and those counted by the Department of Education in its administrative reports of the HEA II-C program. The Department of Education counts as institutional partners only those institutions which actually receive funds through the HEA II-C program; I have chosen to include all institutional participants, regardless of funding status: for instance, I have counted the John Crerar Library as an institutional partner with the University of Chicago because Crerar's serial records were part of the project; the Department of Education did not count John Crerar Library as a participant because it did not receive federal funds.

TABLE 1

SUMMARY OF FUNDING REQUESTED AND PROJECT STARTS

FY	Number of Proposals Received	Funds Requested By Applicants	Funds Appropriated	Proposals Funded	New	Continuations	Additional Institutional Partners
FY 78	101	$27,000,000	$ 5,000,000	20	20	-	5
FY 79	87	$25,000,000	$ 6,000,000	26	17	9	14
FY 80	71	$17,000,000	$ 6,000,000	22	8	14	7
FY 81	91	$19,000,000	$ 6,000,000	30	26	4	11
Totals:	350	$88,000,000	$23,000,000	98	71	27	37

C. Methodology

The primary source of material for this historical review was the Department of Education files for funded HEA II-C projects. The work of the study was accomplished by reading project documentation, which consisted of the applicant proposal for funding, the scoring sheets prepared by the review teams, the quarterly and final reports from the project directors, and written reports of site visits by Office of Libraries and Learning Technologies (OLLT) staff. In addition, I solicited comment and specific information from each project director and/or library director of the award institutions about the extent to which project work undertaken by their library had been achieved as planned, and if not, what factors had contributed to underachievement. The response to this inquiry was very useful to my understanding of the local institutional objectives of the separate HEA II-C projects and how those objectives fit into national programs for strengthening the resources of major research libraries.

During the Mid-winter meeting of the American Library Association in Denver, Colorado, January 1982, I met with approximately twenty-five directors to discuss in more detail problems and prospects of HEA II-C. These discussions were supplemented by further conversation with representatives of the Council on Library Resources, the

Association of Research Libraries, and the American Library Association. In addition, I have reviewed available report literature, journal articles, and other papers relevant to the broader national concerns of research libraries.

My personal experience with the work of the HEA II-C program, as a project director and as a member of review teams for two of the award years covered by this study, has provided valuable insight to the process and the undertones. Additional insight has come from visits to several of the projects and discussion with project directors about the unique features of work at that institution. My work has been immeasurably assisted by review and editorial comment by a number of the project directors.

I was fortunate to have access to a major computing facility so that a number of statistical interpretations of project budget information could be conducted, such as the Lorenz Curve and a series of scatterplots and correlation coefficients.

Problems were minimal due to the excellent cooperation of the staff of ED, Office of Libraries and Learning Technologies which made the project documentation available to me. The most significant problem was the sheer volume of papers to be read, digested and synthesized; it caused the work of the project to proceed far more slowly than

anticipated.

The work of the project was primarily reading, listening, and writing to summarize and highlight four years of work under the provisions of the HEA II-C program to "Strengthen Research Library Resources." I hope to be able to build on this basic information through analysis of the public policy issues raised here as part of a companion study for Rutgers University.

II. NATIONAL NEEDS: PRIORITIES FOR RESEARCH LIBRARY RESOURCES

A. National Needs as Related to Research Library Resources

The research library of the United States is more than a decentralized collection of physical objects standing on shelves and lying in vaults in over 4000 geographical locations from Orono, Maine to LaJolla, California, acquired to preserve information about fields of knowledge and to meet the demands of teaching and research. The research library is also a bibliographic network of 3x5 cards, printed book catalogs, COM catalogs, and electronic images, each providing information about the locations of physical items as well as serving as a mechanism to transmit the intellectual content from one location to another. True, the standard transmission device in the 1980's is a local delivery van, UPS, or the postal service; however current technology permits rapid telefacsimile and electronic data transmission, when proper equipment and compatible systems are present.

Given current technology which can move information from one location to another, the scholar and the fact-finding researcher need not travel just to work with primary sources nor do they need to have the whole body of

man's knowledge housed in a nearby research library, waiting patiently and expensively for some future potential use. The hitch, of course, is that citations to only a fraction of the available research material reside in bibliographically compatible formats which can be transmitted, stored and accessed by the far-flung research community. This is why bibliographic control is an issue of national concern.

Printed book catalogs, a venerable and respected bibliographic record storage mode, as well as their modern counterpart, the COM catalog, contain a static body of titles, are expensive to produce, to purchase and to house. Mansell, NUC, Pre-1956 Imprints, with its more than 11 million author entries, is a fabulous bibliographic storehouse in 754 volumes, yet thousands of pre-1956 imprints were "discovered" too late to be included.

3x5 cards are handy, while the rules for filing them are not; furthermore each point of planned access (author, title, subject) requires a separate card. There is no single card catalog which contains all the entries for all the variant titles housed in the research libraries across this country. Many of the ambitious union card catalogs have closed because the filing structure became increasingly complex with the growth of the file; akin to the dinosaur, the union card catalog becomes too big for the space available and inefficient to operate.

Electronic storage of bibliographic records allows linked, multiple access points to a single record, but the costs of record creation, retention and search are high. Furthermore, competition in the library and information marketplace has produced systems which cannot share information readily, due to language and design differences and proprietary concerns. In response to the concerns which arise from electronic control of records, the major bibliographic utilities are working to coordinate file output without compromising their services, products or corner of the market.[11] Early in 1982, OCLC and RLG announced that each was willing to mount tapes from the other's system, a major policy change.

While gaining control over the location of research material and the means of describing each item in a standard format, as well as adding to the reservoir of knowledge have been a concern in this country long before the first gathering of librarians in New York City in 1853, where Charles Coffin Jewitt, librarian of the Smithsonian Institution, said "we meet to provide for the diffusion of a knowledge of good books and for enlarging the means of public access to them,"[12] the physical items have been slowly deteriorating from old age, poor storage and inferior paper. Certain types of publications have literally disappeared from existence, such as political broadsides, short runs and special editions, ephemera, and

especially, scientific and scholarly treatises generated during the fledgling period of an emerging academic discipline or field of study, providing ample justification for preservation to be considered an issue of national concern.

Managing collections through judicious selection, as well as planned duplication and discard, runs in tandem with preservation and bibliographic control of our nation's research library resources. Professional concern about duplication of resources is a two edged sword for research libraries: on one hand, the truly unique and rare scholarly resources need not be replicated endlessly around the country; conversely, those items which support basic day-to-day teaching and scholarly work must be readily available for consultation and fact-finding. For some, electronic access to remotely stored information is the most cost-effective method to gain certain types of information, such as citations, abstracts, data, location information and references. In other instances, inspection of the printed work or its replica is the only acceptable method to discover facts and to draw conclusions. The issue is that libraries must be able to determine in advance of purchase whether an item exists elsewhere in the nation's research library system; whether the owner-institution is willing to make it available to a distant scholar; and whether its intended use dictates replication at yet another research

library location or its branches. The answers to these questions impact decisions about fundamental aspects of library service, such as definitions of the primary clientele and its needs; size, scope and lifetime of the collection; ownership of material and transfer of ownership to central "banks"; ownership of electronically generated, remotely stored data; price control and the bibliographic cartel.

Thus by the 1970's, when the planning for HEA II-C was initiated, the intertwined issues of collection development, preservation, and bibliographic control and access had emerged as the central needs of the nation's research library community. Research libraries must find and acquire resources which are not now available to the scholarly community or which will enhance existing collections on a subject; research libraries must preserve items already part of the national research library system; and they must provide bibliographic control over the entire national collection so that a researcher in any geographic location can learn of the existence of an item and gain access to is contents.

B . Public Policy Response to National Need

The HEA II-C program to strengthen the resources of research libraries can be viewed as the culmination of decades of concern about duplication of and competition for primary research materials in this country. Early on, certain universities and private society libraries established themselves as the locus of research in certain subject areas; scholars traveled to the collections, clutching letters of introduction, frequently staying "in residence" to pursue a topic. As the number of college-bound babies increased after World War II and colleges were created to accommodate their numbers, federal money was made available to buy books and other library material for teaching and research. During the same period , the technology to replicate books and manuscripts made it economically feasible for fledgling colleges to emulate established research institutions, thereby satisfying scholars at home, while attracting new research as well.

The launch of SPUTNIK required that scholars in the United States learn new foreign alphabets, thus libraries were faced with filing the Cyrillic alphabet in the card catalog. The federal government pumped billions of dollars into sponsored research, resulting in millions of pages of technical reports, thus libraries were faced with cataloging

backlogs of paperbound, corporate entry, titles-in-series, a low priority for the Library of Congress's cataloging service. During this period, the nation experienced fiscal stress from a rapidly changing economy which slowed down in the 70's, producing a cycle of feast and famine for higher education and its research libraries, which were especially vulnerable to these economic fluctuations.

From the early 50's to the present there is a documented thread of concern about the problems and prospects of research libraries, upon which national programs and goals for action in the library and information industry arena seem to be based. In the seven brief time capsules which follow, I have tried to capture the thread to show how HEA II-C relates to long standing concerns about the need to strengthen research library resources.

The 50s: Problems and Prospects

Looking backward, the 1954 Monticello Conference of the Association of Research Libraries (held at Allerton House of the University of Illinois) provides a point of reference for a three decade perspective on the problems and prospects of the research library.[13] The leadership of the research library community identified a series of issues to be put to a proposed new commission on research

library problems, to be sponsored by the Association of American Universities in cooperation with one or more of the foundations. Chief among the concerns explored in papers at the conference were these issues:

+ The financial problems of research libraries in general;

+ The "cost of keeping books and the problems of keeping them forever," where library collections were estimated to double every 15-20 years; (R. Swank)

+ The "torrential accumulation of knowledge" affecting publications of research, space needs and organizations of material which becomes more and more complicated and expensive as collections grow; (H. Gilman)

+ The need "to evaluate existing fields of strength in subjects and specialities, to work out agreements for concentration and to honor the agreements so reached;" (L.C. Branscomb)

+ The need to evaluate "standards of collecting, cataloging, and service because of ever-increasing costs." (AAU)[14]

Henry Gilman, Professor of Chemistry at Iowa State College and a conference participant added these:

+ The scientist's hope that libraries can complete their work of collecting scientific research serials and periodicals; not all the important ones are yet (1954) to be found in this country;

+ To make available research material appearing in languages that are not familiar to the average scientist, through translation services, for instance;

+ To reimburse those library expenditures necessitated by sponsored research projects, (through assessment and judicious distribution of indirect charges on sponsored research budgets, one assumes).[15]

These themes can be seen as a persistent undercurrent to activity among research libraries during the next two decades. For instance, the Midwest Inter-Library Center, later known as the Center for Research Libraries, was opened in 1951; the National Program for Acquisitions and Cataloging (NPAC) was initiated in 1966; and during the late 60's and early 70's, led by pioneering work at Stanford University, a number of major research libraries evaluated their holdings in light of academic programs and prepared landmark Collection Development Policy Manuals.

The 60s: The Future of the Research Library

By the mid-sixties when Verner W. Clapp wrote The Future of the Research Library,[16] several of the issues from the previous decade had been resolved (such as translation services and indirect charges), while a number of obstacles had been identified which continued to hinder the research library in its function of "making available, to the fullest extent of its assignment and capabilities, the library materials needed by its constitutency." Noting that "a peculiar problem of the general research library arises from the gap that exists between what its users require and what it can supply," Clapp examined the following principal causes for the discrepancy between supply and demand of material needed for scholarly research and teaching:

+ The gap between production of information and its acquisition by the library;

+ Obstacles to sharing resources;

+ Bibliographic deficiencies;

+ Inadequacy of techniques for physical maintenance, record-keeping, and administration.[17]

The proposals suggested by Mr. Clapp as programs to overcome these obstacles set the tone for developments in the 70's:

1. Improved self-sufficiency of resources, through development of microphotography to replicate items needed for scholarly work and study;

2. Improved bibliographic access, by improving the supply of cataloging information and union catalogs;

3. Improved methods of physical maintenance, which address deterioration, bookbinding, book storage, delivery from remote storage and prevention of mutilation and pilferage;

4. Improved methods of record-keeping (other than cataloging) including acquisitions, serials, circulation, information services and the process of note taking or copying for study and research;

5. Improved bases of administration, through building design, standardization and testing of equipment, supplies and systems, development of new devices for library applications, improvement of organization for library services, and recruitment and training for library work.[18]

The theme of centralized and cooperative efforts to solve research library problems emerged as the big gun of the 60's and 70's. For instance, the Ohio College Library Center (OCLC), later to become OCLC, Inc., was incorporated

in 1967, as a cooperative cataloging service for Ohio college and universities; the Five Associated University Libraries (FAUL) in New York (Buffalo, Rochester, Syracuse, Cornell and Binghamton) joined forces in the late 60's with "assigned subject specialization for acquisitions, delivery service, photocopying, reciprocal borrowing, expanded interlibrary loan service, and joint research projects."[19] The initial version of the Research Libraries Group was formed in 1973 to include Harvard, Yale, Columbia, and the New York Public Library where the objectives were to coordinate collection development, provide reciprocal access and delivery service, and to provide computer storage of cataloging records in a common data base.[20] Cooperative acquisitions programs were initiated, such as among the academic libraries of Colorado (CALBPC) and regional interlibrary networks among different types of libraries flourished.

The grassroots were energized by developmental funds from the federal government and private agencies as well as by the untapped potential of the large capacity computers located and available on most major university campuses.

The 70s: Toward a National Program

A 1975 report from the National Commission on Libraries and Information Science, Toward a National Program for Library and Information Service: Goals for

Action, had identified a series of problems facing university and research libraries which "warrant national attention: rising costs, rapidly changing set of educational objectives, and the impact of new technology."[21] The report noted that, as research libraries work cooperatively to overcome existing problems, they have introduced new problems such as interlibrary lending arrangement where the "larger libraries which lend more volumes than they borrow, bear a disproportionate burden" of cost and inconvenience to their own primary clientele. Goals for Action urges that "while seeking to improve and extend such service, the research libraries need financial assistance to help them correct sharing imbalances and permit them to serve more users than just their primary clientele."[22]

Furthermore the report urges that if "collections of unique scope and quality" are to continue to serve as a national resource, then "the maintenance, preservation and development of the collections are responsibilities that must be shared."[23] And finally, the combined resources of the major research libraries represent an "asset of great value to the nation;" to share these resources as widely and effectively as possible, there needs to be "assistance to establish centralized bibliographic services, to develop technical standards for computer and communication usage, and to sustain a select number of unique collections."[24]

The dilemma for the research library community is to realize

> "America has an abundance of recorded information, not a shortage; however, this precious resource is concentrated in relatively few locations, often virtually inaccessible to millions of people, and is lying largely untapped. Thus the challenge is to find the means for making these resources available to more people through an effective identification, location and distribution system."[25]

Among the eight programs objectives recommended by the NCLIS Report as a national strategy for library and information service is one which calls for leadership to "plan, develop and implement a nationwide network of library and information service."[26] Chief among the priorities of such a nationwide network would be the following:

1. To encourage and promulgate standards, such as those developed through the American National Standards Institute (ANSI); the MARC-II format developed by the Library of Congress for bibliographic records; the CONSER format for serials; specifications for film, video-disc and magnetic tape storage; as well as for standards for online indexing, abstracting and reference services.

2. To make unique and major resource collections available nationwide.

3. To develop centralized services for networking, such as a national periodicals bank, or a national depository for the preservation and distribution of master negative microfilm.

4. To explore computer use for production of bibliographic records, for servicing records (interlibrary loans, referrals, searches, etc.) and to manage the network operation.

5. To apply new forms of telecommunication, such as to integrate a variety of signals into a

single system.

6. To support research and development for library and information science.

7. To foster cooperation with similar national and international programs.[27]

The NCLIS report, Goals for Action, preceded enactment of HEA II-C, however recommendations of the NCLIS report surely affected the policy overtones of the law and it appears that many of the concerns for standards, bibliographic control and resource sharing were addressed with the Education Amendment of 1976 which established the HEA II-C program. This national program was designed to assist research libraries strengthen their resources through acquisitions, preservation, and bibliographic control; it is now obvious that four years of project work have barely begun to uncover the extent of work to be done, if the number and diversity of proposals for funding are indicators of need.

Indicators of Need: Research Libraries

A National Inventory of Library Needs, 1975, published in 1977 by the National Commission on Libraries and Information Science, drew its conclusions from 1974 and 1975 data to identify the resources needed for public and academic libraries and for public school library/media centers. The data was collected by the National Center for Education Statistics in its recurring Libraries General

Information Surveys Program. The indicators of need, adapted from existing standards developed by professional associations and states and developed for the NCLIS study, were "not intended to be used as evaluation criteria for individual libraries, but rather as indices to track the progress of the library establishment on a larger scale."[28] The NCLIS indicators are quantitative and are "essentially gross measures appropriate for large scale comparisons and policy planning efforts."[29] The detailed statistics from the NCLIS inventory were used by its author, Boyd Ladd, to draw inferences about national need:

+ "U.S. public, public school, and academic library programs needed significantly greater resources than they received in 1975. The magnitude of the gaps identified overwhelms legitimate reservations about definitions, consistency of reporting and precision of the particular yardstick used. Gaps are widespread, geographically and otherwise."[30]

+ To meet the great gaps between current available resources and current need, we need a mechanism for practical cooperation, a design for "viable networks based on local independence and control, while achieving the benefits of reduced unnecessary duplication."[31]

During this same time, the Association of College and Research Libraries approved "Standards for College Libraries"[32] and a joint committee of the Association of Research Libraries and the Association of College and Research Libraries approved "Standards for University Libraries."[33] These two documents were prepared to assist in the evaluation and improvement of library services and resources by suggesting a multifaceted yardstick against

which an academic research library could be measured. Within each of the general categories, specific standards were proposed which could be measured and compared; gaps thus identified could be the basis for arguments of need for a research library.

In parallel development the Association of Research Libraries, through its Office of Management Studies, assisted a number of academic libraries with its Management Review and Analysis Program (MRAP), a structured, self-study program designed to develop organizational goals and measurable objectives; as these libraries learned to develop local institutional goals they also learned techniques to set priorities among conflicting needs and objectives. It is my observation that the professional consensus that collection management, preservation, and a national program of bibliographic control are issues of concern to the research library community grew out of this period of academic library introspection, coupled as it was with the economic reality of tight money, double digit inflation and the decline of college-bound babies in the 80's.

Scholarly Communication

By the mid-seventies a number of studies were in progress regarding the research library community, including one conducted by the National Enquiry into Scholarly

Communication, published in 1979 as Scholarly Communication.[34] As noted in its central conclusion, "the extraordinary growth of the scholarly enterprise during the last two decades requires important qualitative changes in the way certain scholarly materials are published, disseminated, stored, and made available,"[35] echoes of the 1954 Monticello Conference. Three of the Enquiry's recommendations are presented here as integral to questions posed for research libraries as they enter the 1980's:

1. A National Bibliographic System
"recommended that research libraries, scholarly associations, and organizations currently engaged in producing bibliographic services join with the Library of Congress in creating a linked national bibliographic system."[36]

2. A National Periodicals Center
"recommend the establishment of a national periodicals center and endorse the plan for its development, operation, management, and financing prepared by the Council on Library Resources."[37]

3. A National Library Agency
"recommend that a new organization be created to help plan and bring about the purposeful development of a national library system."[38]

The undercurrent of the report of the National Enquiry is that "rapid growth of scholarly material puts a premium on up-to-date, comprehensive, bibliographic services that allow scholars to identify and locate essential books and articles."[39]

It is in the arguments and analysis of the report of the National Enquiry that the clearest sense of need in the research library community emerges. The objectives of the

HEA II-C program closely parallel those needs and accompanying recommendations.

The White House Conference

The work of the 1979 White House Conference on Library and Information Services overlapped the planning and initial authorization phases of the HEA II-C program to Strengthen Research Library Resources, and congealed a number of professional concerns and conflicting priorities into a proposal for a Comprehensive National Library and Information Service Program. As submitted to President Jimmy Carter following the White House Conference, it called for a program of improved access to library and information resources through interlibrary cooperation, resource sharing and network support. The broadly based proposed Information Service Program sought to provide incentives to propel work toward the solution of the central needs in the library and information production industry, an industry which is fed by the demands of the research community and its research libraries. The objectives of the proposed Information Services Program reflect needs which are still outstanding and which must be addressed if the larger goals of resource sharing and delivery of information services are to be effective.

Although the purpose of the HEA II-C program is more narrowly defined than the broadly based objectives of the

proposed Information Services Program, it is clear that the program objectives of HEA II-C fall within the national rhetoric of sharing available resources, utilizing new technologies and national standards to do so. For instance, these points were put forward in the Summary of the White House Conference Report:

+ Plan, develop, and maintain bibliographic access, communications, and delivery systems to facilitate sharing of library resources;

+ Provide financial assistance for collection maintenance and collection development including the acquisition and development of data bases in major network resource libraries;

+ Demonstrate, establish, develop and maintain inter-institutional information delivery systems on an intrastate, statewide, regional and national basis;

+ Create a national periodicals system to achieve more effective access to periodical and journal resources;

+ Support development and adoption of national and international standards;

+ Reduce postal and telecommunication rates for the exchange of library and information services.[40]

The Information Agenda of the 80's

The next logical step in the steady progression from concern with the "torrential accumulation of knowledge" to delivering information directly to the home via electronic imagery, was described by Robert Wedgeworth at a 1980 colloquium: "another major agenda for libraries in the eighties will be to deemphasize the library as a place or

a collection of physical objects while emphasizing its information services.[41] Newton N. Minow, moderator of the colloquium and co-author of Electronics and the Future, reminds us that "we now face a time in the 1980's when two facts dominate America: an abundance of information technology and a shortage of energy, both having arrived simultaneously."[42] It was Dan Lacy, Assistant to the President of McGraw-Hill, who was able to point the way to the objectives in this decade for the research community and its libraries:

+ To restructure the national information communications system;
+ To redefine the functions of publishers and other information providers;
+ To redefine the functions of the copyright policy;
+ To redefine the functions of the role of the federal government as an information source, especially with respect to electronic dissemination of the enormous stores of information it collects or creates;
+ To redefine the functions of international information policy.[43]

While research libraries are a long way from having control over the nation's research collections, it is apparent that the goals for information services are gradually shifting from control of the physical item to dissemination of its content, independent of physical location. The HEA II-C program will enhance aspects of this orientation, namely by funding the preservation of material and funding projects to put bibliographic records

into an electronic format which can be transmitted to locations throughout the nation.

C. Work to be Done

During the initial four years of HEA II-C funding to strengthen research library resources, the following work has been accomplished:

1. Collection Development
   Acquisition of books and other material to be used for library purposes;

2. Preservation and Conservation
   Binding, rebinding, and repairing books and other materials to be used for library purposes, and preserving such materials by making photocopies, by means of treatment to lengthen the life of paper or bindings, or by other means;

3. Bibliographic Control and Access
   A. Cataloging, abstracting, and making available lists and guides of library collections; and
   B. Distributing library materials and bibliographic information to users beyond the primary clientele through the mail or through electronic, photographic, magnetic, optical, or other reprographic techniques.

This work has been accomplished through ninety-eight institutional awards to forty-six separate institutions. A three page summary of the institutions which received awards the first four years of the program, as well as the funding level by type of activity (collection development, preservation, and bibliographic control) and commitment to multi-year projects is provided at Table 3 (p.49). A more detailed summary of project activity is provided at Table

5 (pp.58-63). Both tables point to accomplishments of the program and suggest the extent of work which remains to be done. The sheer volume of this work has been accomplished through a four year appropriations total of $23,000,000 (from authorizations totaling $75,000,000), which barely scratches the surface of work which needs to be done to strengthen research library resources through sharing resources, building bibliographic networks; preserving and adding to the available store of information. As evidence, in fiscal '78, there were 101 requests for funding, seeking $27,000,000; in fiscal '81, there were 91 requests, seeking $19,200,000.

While all applicant institutions did not qualify under the definitions of "major research library," the recurring needs expressed in the proposals are a vivid collage of deteriorating collections; uncontrolled and therefore unavailable and unsharable collections; unique research material gone begging into personal collections which may not be available to the researcher; and the need for an infusion of funds to facilitate conversion to new national standards. While critics of this program have suggested that only a fraction of the proposals represent real need for external funding, it is more likely that the proposals represent only a fraction of the real need for external funding, indicating a tremendous amount of work to be accomplished in the 1980's and the decades beyond.

It is highly unlikely that the individual universities, research organizations and societies will be able to meet the need within the financial boundaries of their respective institutions, given the economic prospects for the 80's.

In the history of this country only three major federal acts have supported programs to assist academic, public and school libraries in the United States: Title II of the Higher Education Act; the Library Services and Construction Act; and Title IV-B of the Elementary and Secondary Education Act. As Senator Major R. Owens, New York, observed to the delegates of the White House Conference on Library and Information Services, "In all the years since the first federal support for libraries began through the Library Services and Construction Act, the total funding amounts to less than the cost of two aircraft carriers."[44]

III. FUNDED HEA II-C PROJECTS: OBJECTIVES AND ACHIEVEMENTS

A. Purpose and Funding

The purpose of the HEA II-C program is to promote research and education of higher quality throughout the United States by providing financial assistance to:

a. Help major research libraries maintain and strengthen their collections; and

b. Assist major research libraries in making their holdings available to individual researchers and scholars outside their primary clientele and to other libraries whose users have need for research materials.[45]

Funds provided for the HEA II-C program may be used for activities or expenditures which achieve one or both of the purposes described in §136.02 (above), exclusive of construction costs. These authorized activities or expenditures may include, but are not limited to:

1. Acquiring books and other additional materials to be used for library purposes;

2. Binding, rebinding, and repairing books and other materials to be used for library purposes, and preserving such materials by making photocopies, by means of treatment to lengthen the life of paper or bindings, or by other means;

3. Cataloging, abstracting, and making available lists and guides of library collections;

4. Distributing library materials and bibliographic information to users beyond the primary clientele through the mail or through electronic,

photographic, magnetic, optical, or other reprographic techniques;

5. Acquiring additional equipment and supplies that will assist in making library materials available to users beyond the primary clientele;

6. Hiring necessary additional staff to carry out activities funded under this program; and

7. Communications with other institutions incidental to other activities of this program.[46]

Review of the stated objectives of the funded HEA II-C projects indicates that they each routinely included aspects of these seven authorized activities, thus it was decided that analysis of institutional awards would be made in terms of three generalized program activities: 1) collection development, 2) preservation, 3) bibliographic control and access, and combinations of the three. The pattern of funding for each of the general program activities during each of the four years of this historical review of the HEA II-C program is shown in Tables 2 and 3 which follow. Table 2 shows total appropriation and percentage by type of activity. It is interesting to note that projects which will promote bibliographic control and access to information about collections of library research materials have received the bulk of funding in each of the four years, while funds to acquire books and other materials comprise only 12% of the total appropriations; projects to preserve fragile and deteriorating collections have received 21% of the total over the four year period. While the Rules and

TABLE 2A SUMMARY OF AWARDS BY TYPE-OF-ACTIVITY: 1978-1981

Fiscal Period Oct-Sept	Appropriation	Collection Development	Preservation	Bibliographic Control	Awards Total
FY 78	$ 5,000,000	$ 795,103	$1,340,554	$ 2,864,339	$ 4,999,996
FY 79	$ 6,000,000	$ 628,433	$1,393,201	$ 3,978,366	$ 6,000,000
FY 80	$ 6,000,000	$ 841,120	$ 805,383	$ 4,345,765	$ 5,992,268
FY 81	$ 6,000,000	$ 427,253	$1,298,542	$ 4,274,205	$ 6,000,000
TOTALS	$23,000,000	$2,691,909	$4,837,680	$15,462,675	$22,992,264

TABLE 2B DISTRIBUTION OF FUNDS BY TYPE-OF-ACTIVITY: 1978-1981

Fiscal	Collection Development % of Total	Preservation % of Total	Bibliographic Control % of Total	Total %		Award
1978	16%	27%	57%	100%	=	$ 4,999,996
1979	11%	23%	66%	100%	=	$ 6,000,000
1980	14%	13%	73%	100%	=	$ 5,992,268
1981	7%	22%	71%	100%	=	$ 6,000,000
Four Year Average	12%	21%	67%	100%	=	$22,992,264

Source of data: Funding Memorandum for FY 78, 79, 80, 81 and the annual published Abstracts of funded projects for the HEA II-C program.

Regulations which guide HEA II-C implementation do not suggest that one type of program activity receive a greater priority for funding than any other type, the legislative history of the statute indicates that the purpose of the HEA II-C program is to help major research libraries strengthen their collections as well as make their collections available to users outside their primary clientele, nowhere mandating that resources equally support each type of activity, or all research libraries.[47] Clearly the program was designed to be selective among libraries in pursuing the research needs of the nation. Table 3 shows the awards made to each institution by type of activity.

Let Us Count the Ways

One of the most difficult aspects of this historical review of funded HEA II-C projects was to accurately count the number of awards which were made, the number of institutions which received assistance under the program, and the number of projects which were funded. The following paragraphs contain the definitions used in this report to provide consistency among the various kinds of counts which could be made.

1. Institutional Awards: Those institutional proposals which were funded have been referred to as institutional awards throughout this paper; for the four fiscal years of this study, 1979-1981, there were 98 institutional

awards made. Table 1 provides a summary of the number of awards made in each fiscal year.

2. Number of Institutions: A number of the institutional awards involved a commitment for multi-year funding to an institution, thus the 98 institutional awards were made to 46 different institutions in the four year period covered by this historical review. Table 3 identifies the institutions and indicates the distribution of funds by type-of-activity.

3. Joint Participants: Several of the institutional awards channeled funds to an additional 20 institutions for jointly sponsored, cooperative activity, thus bringing the total number of separate institutional participants to 66. It must be noted here that the Department of Education counted as HEA II-C participants only those institutions which received funding under the program; this study counts as HEA II-C participants those institutions which contributed to the activities of a project, even without benefit of federal funding, such as the New York State Department of Education project which involved Cornell, NYU, and the SUNYs Albany, Binghamton, Buffalo and Stony Brook. One of the problems with this sort of counting is that several of the institutions received HEA II-C funding both through an institutional award and as a joint participant with another institution. Stanford, the University of South Carolina, the University of North Carolina, the Center for Research

Libraries, Cornell, Columbia and Duke are examples of institutions which received grants directly and which also participated as joint project partners with other institutions. In addition, several institutions were joint participants in more than one institutional award, such as North Carolina State and New York University. Each institution was counted only once, regardless of status as an award institution or as a joint project member, producing the figure of 66 for the total number of HEA II-C participants. The cooperative, multi-year projects are described in Table 4.

4. Projects: A number of the institutional awards involved more than one work objective or project. Table 5 provides a brief description of the 97 separate projects funded under HEA II-C criteria in the four year period, 1978-1981. Of the 97 projects, 32 were funded for more than one year. (Table 5, see pp. 58-63)

5. Fiscal Year: The federal practice of designating grants by the year in which the award was made rather than the year during which the work was undertaken has led to inevitable confusion, both for the grantee and to observers of the program. Thus, as HEA II-C grant awarded in fiscal '78 is known as an FY 78 grant although the work of the project took place during FY 79. The federal designations have been followed throughout this report for consistency with US Department of Education records and publications.

TABLE 3 SUMMARY OF INSTITUTIONAL AWARDS BY TYPE-OF-ACTIVITY

	Award Institution	FY 78	FY 79	FY 80	FY 81	FY 82	Collection Development	Pres'vation	Bib'graphic Control	Institutional Total
1.	A Nat Sciences				....		$	$	$ 43,680	$ 43,680
2.	U Alaska		....					113,203	40,913	154,116
3.	A Mus Nat Hist	....	////	////	....		408,124	66,688	421,711	896,523
4.	U Arizona			////	////		79,650		307,684	387,334
5.	Art Institute	....					105,400	57,800		163,200
6.	Boston P L	....	....		////	++++		187,069	392,356	579,425
7.	Brown U			....	....		55,307		382,164	437,471
8.	UC Berkeley	////	////	////					2,420,781	2,420,781
9.	Cntr Res Libs			....	....				122,809	122,809
10.	U Chicago	....	////	////	////		246,481	12,000	370,128	628,609
11.	Cleveland P L				....				80,306	80,306
12.	Colorado State U	////	////	////					670,459	670,459
13.	Columbia U		....					254,116		254,116
14.	Cornell U		////	////	////		321,681		398,268	719,949
15.	Dartmouth				....			28,640	121,360	150,000
16.	Duke U	....		....			500,000			500,000
17.	U Florida				....				800,000	800,000
18.	Folger	....					100,000	27,623	14,400	142,023

.... = a one year grant; //// = a multi-year grant; ++++ = a commitment for next fiscal.

TABLE 3 SUMMARY OF INSTITUTIONAL AWARDS BY TYPE-OF-ACTIVITY

	Award Institution	FY 78	FY 79	FY 80	FY 81	FY 82	Collection Development	Pres'vation	Bib'graphic Control	Institutional Total
19.	Harvard	....	....	....	....		$	$1,251,651	$	$1,251,651
20.	U Hawaii				....				150,000	150,000
21.	Huntington	////	////	////				648,051		648,051
22.	U Illinois	////	////	////	////	++++	278,836		101,300	380,136
23.	Indiana U	////	////		....		22,457		715,765	738,222
24.	Iowa State U				....			23,100	104,875	127,975
25.	U Kansas		////	////					253,656	253,656
26.	U Michigan		////	////	////				1,256,000	1,256,000
27.	Mo Botanical	////	////	////					644,571	644,571
28.	New York P L	....	....		....			1,102,443	411,073	1,513,516
29.	N Y Ed Dept	////	////	////					805,849	805,849
30.	Newberry				....			131,658		131,658
31.	UNC		////	////	....				812,882	812,882
32.	Northwestern		....				163,006		91,110	254,116
33.	Ohio State				....		96,780		82,220	179,000
34.	U Pennsylvania			....				41,250	126,489	167,739
35.	Princeton U	////	////	////					623,056	623,056
36.	Rutgers U		....					45,114	159,002	204,116

.... = a one year grant; //// = a multi-year grant; ++++ = a commitment for next fiscal.

TABLE 3 SUMMARY OF INSTITUTIONAL AWARDS BY TYPE-OF-ACTIVITY

	Award Institution	FY 78	FY 79	FY 80	FY 81	FY 82	Collection Development	Pres'vation	Bib'graphic Control	Institutional Total
37.	U S Carolina				....		$	$	$ 172,000	$ 172,000
38.	U S California		....		....		87,653		239,042	326,695
39.	S Illinois U				////	++++	100,000	27,591	52,409	180,000
40.	Stanford U				....				209,013	209,013
41.	U Texas, Austin	....	////	////	....		126,534	106,934	515,532	749,000
42.	U Utah				////	++++			110,883	110,883
43.	U Virginia		....						300,500	300,500
44.	U Washington	....		....	....			140,340	278,012	418,352
45.	U Wisconsin	....	....		....			128,604	271,371	399,975
46.	Yale U	////	////	....	....			443,805	389,046	832,801
	No. of Awards	20	26	22	30					
	Totals by Type of Activity					$	2,691,909	4,837,680	15,461,675	22,992,264
	GRAND TOTAL, FY78 - FY 81 Funded Title II-C Projects									$22,954,264

.... = a one year grant; //// = a multi-year grant; ++++ = a commitment for next fiscal.

NOTE: These figures were edited by OLLT staff.

B. Summary of Project Objectives

It is a primary concern of this historical review of funded HEA II-C projects to document the objectives of each project and to assess, in some way, whether the objectives were met as proposed. I have distilled the information for this section from the initial proposal from the institution, from the quarterly and final reports of each project, from the official Funding Memoranda which reflect negotiated change from the original proposals, and from a series of questions posed to each project director regarding local assessment of the project.

Problems

With few exceptions, the objectives were met as proposed, or as modified, with the concurrence of the Department of Education. However, there is a common thread of aggravations and start-up problems which few of the projects seem to have avoided; the most prevalent follow:

1. Recruitment and hiring of project staff: Typically, positions could not be advertised until the federal funds were in institutional hands, leading to delays of six weeks to several months before project staff were assembled. Recruitment of professional librarian staff presented special problems with nationwide searches, affirmative action goals and the short term of the project period.

2. Staff Training for the work of the project: Typically, the work of the project could not be accomplished by untrained clerical personnel, thus full production levels were not achieved until

well into the first year of the project. For instance, data entry of serials bibliographic records and holdings statements requires intensive training and skilled personnel, conservation techniques require specialized training, as does operation of camera equipment for microfilm preservation.

3. Staff turn-over and retraining: Typically, project personnel were hired onto the staff of the institution into temporary positions, funded by "soft-money," which was specifically understood to be short-term by definition, with no guarantee of permanent employment. Clerical and professional project staff routinely sought permanent positions within the institution, as positions became available; moreover, in those instances where project personnel were also represented by a local union, they frequently had recourse to seniority and a bidding process under provisions of the contract. Obviously, project positions thus vacated had to be filled again and the new staff trained, resulting in unexpected duplication of effort for project supervision.

4. Delays in equipment and contract service deliveries: As with recruitment of personnel, purchase orders for major equipment, such as microfilm cameras, preservation equipment, terminals and related electronic data transmission devices, could not be placed until federal funds for the project had been received by the institution. In addition, the delivery of OCLC equipment to project institutions was slow during this period, primarily because of an upsurge in OCLC business and its move to a new location.

5. Underestimation of the magnitude of the project: The work of the project was underestimated in a number of projects, a result of incorrectly assessing the amount of time to complete a unit of work or incorrectly estimating the number of pieces to be processed.

6. Technology: In several cases, limitations of the data base design were not fully understood until the project was at hand; in others, interior environmental problems had to be resolved before electronic data processing equipment could be installed.

Cooperative Projects

The cooperative, multi-year projects represent a broad based regional approach to the problems of major research librarians which warrants special attention. The ten cooperative projects are summarized in the following Table 4 to focus the reader's attention on the ambitious file building which will accrue to the nation's research library potential with the successful completion of these cooperative projects.

TABLE 4 Cooperative Projects and Joint Funding

1.	UC, Berkeley Jointly with UC, Los Angeles Stanford	FY 78	FY 79	FY 80
	To enable the three libraries to convert all their serial titles to machine-readable form, to develop and implement methods for linking their serial files, and to add to the records detailed holdings statements, thus resulting in more resource sharing activities. A three year project. Records will be input to RLIN; CONSER standards.			
2.	U of Chicago Jointly with John Crerar Library Center for Research Libraries	FY 78		
	A machine-readable data base will be constructed for the estimated 21,000 currently received science serials of the three libraries. A one year project. The project modified existing software of Chicago's Library Data Management System to allow utilization of LC/MARC serial records.			

3. Duke University FY 78 FY 80
Jointly with
U of North Carolina
North Carolina State

A coordinated collection development project through which each institution will use its entire allocation for the acquisition of (1) current and retrospective research materials that build on distinct subject and area strengths, and (2) materials corresponding to assigned responsibilities under existing collection development agreements. The three libraries have long coordinated the development of their research level collections to be complementary rather than competitive, and have well-established cooperative lending agreements.

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4. U of Florida FY 81
Jointly with
Emory University
Florida State U
U of Georgia
U of Kentucky
U of Miami
U of Tennessee
Va Polytechnic Institute and State University

The participating libraries will create a data base of current serials titles and formulate plans to create a computer interpretable notation for detailed serials holdings, rapid interlibrary loans, cooperative serials collection development, and an outreach program to encourage future participation among other SOLINET members. Records will be input to OCLC; CONSER standards.

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5. U of Michigan FY 79 FY 80 FY 81
Jointly with
Michigan State
Wayne State

To enable the three libraries to convert their serial bibliographic records into machine-readable MARC-S format in a common file in order to make their extensive serials collections more widely available to library users. The data base developed will conform to all national standards for serials. A union list of serials will be issued in COM format, available for distribution to various public, academic, and other types of libraries. Records will be input to RLIN and OCLC; CONSER standards. A three year project.

6. Missouri Botanical Garden
Jointly with
New York Botanical Garden

FY 78 FY 79 FY 80

This three year project will complete the recataloging and reclassification of the large and unique botanical and horticultural library collections at both institutions. Records will be input to OCLC.

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7. New York Public
Jointly with
Columbia University
New York University

FY 81

To bring all art and architectural resources in these three libraries under bibliographic control, to develop a regional program of coordinated collection development, to provide ready physical and bibliographic access to these resources, and to develop and implement a rational and coordinated "best-copy" preservation and conservation program. Columbia will catalog and reclassify titles; records will be input to RLIN. The New York Public Library will recatalog volumes containing rare photos and preserve through microfilming art pamphlets; records will be input to RLIN. New York University will do retrospective conversion of volumes of the Institute of Fine Arts Library, will catalog 17th and 18th century art books and titles owned by the Parsons School of Design, and preserve items at the Institute of Fine Arts and items at the Parsons School of Design.

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8. New York State Library
Jointly with
Cornell University
New York University
SUNY Albany
SUNY Binghamton
SUNY Buffalo
SUNY Stony Brook

FY 78 FY 79 FY 80

Monographic holdings from selected subject collections in these six research libraries will be converted to machine-readable form and input to OCLC. A three year project.

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9. U of North Carolina at Chapel Hill — FY 79 FY 80 FY 81
Jointly with
Duke University
North Carolina State

To plan and develop a distributed, online local network to provide improved access to the collections of these three institutions. The grant will (1) plan and implement a local online editing system, (2) produce a COM union catalog, and (3) implement the initial phases of the local online bibliographic access network. The network will be designed to operate with cataloging data created through the OCLC online cataloging system, and will be suitable for replication in other similar groups of libraries.

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10. U of Virginia — FY 79
Jointly with
U of Alabama
U of South Carolina
Vanderbilt University

A project to extend regional and national bibliographic data bases by a combined shelflist conversion, concentrating on the unique and rare research materials held in the special collections of these four libraries. Records will be input to OCLC.

Summary of Project Activity

In Table 5 which follows, project descriptions are arranged alphabetically by the name of the institution which received the award. This arrangement was chosen after careful consideration of the nature of the projects and the way in which the reader is expected to approach this document. A more detailed description of each institutional award, project objectives and accomplishments appears as an Appendix.

TABLE 5 PROJECT ACTIVITY AND DURATION HEA II-C FY 78-81 (1 of 6)

PARTICIPATING INSTITUTIONS	FY 78	FY 79	FY 80	FY 81	FY 82	Project Number and BRIEF DESCRIPTION OF FUNDED PROJECTS
01. Acad Nat Sci				....		01. Bib Control: retrospective conversion of library collection into OCLC
02. U of Alabama						Bib Control: see project #87, UVA
03. U of Alaska		....				02. Preserve: Alaskan and Polar region collection, regardless of format
		....				03. Bib Control: input book and periodical bibliographic data to WLN
04. American Museum of Natural History	....					04. Bib Control: recatalog serial collection in CONSER format; print catalog
	....	////	////			05. Acquire & catalog: monographs in subject strengths of the Museum
		////	////			06. Bib Control: enter shelf-list & new acquisitions to OCLC
				....		07. Preserve & control: prepare inventory & guides to historic photo collection
05. U of Arizona			....			08. Acquire & catalog: Arid Lands material not held in U.S. libraries
				....		09. Bib Control: input Arid Lands material to OCLC; index in Arid Lands Abstract
06. Art Institute of Chicago	....					10. Acquire: Unique art editions; art serial (microfms); Hist of Photography titles.
	....					11. Preserve: Plan of Chicago & Photogravc plates of Inland Architect 1883-1908.
07. Boston Public	....	....				12. Bib Control: edit, photoduplicate & distribute card cat of lib's holdings
				////	++++	13. Preserve: special collections, eg, Adams, Defoe, Prince Library
08. Brown U			////	////		14. Bib Control: catalog rare books in Hay & Brown libs; input to RLIN
			....			15. Acquire & catalog: Harris collection-Amer poetry & plays; prepare guides
			////	////		16. Bib Control: Sheet Music collection: design model for cataloging
09. UC Berkeley	////	////	////			17. Bib Control: convert serials records to CONSER format; input to RLIN A joint project with: UCLA, Stanford
10. UC Los Angeles						Bib Control: see project #17, UCB
11. Center for Research Libraries				....		18. Bib Control: edit & film Center's card catalog; produce a fiche catalog
						Bib Control: see project #19, Chicago
12. U of Chicago	....					19. Bib Control: create data base of science serials. A joint project with: CLR, John Crerar
	....					20. Acquire & catalog: Far East, Middle East, Slavic, South Asian material
		////	////	////		21. Acquire & catalog: PL 480 South Asian titles; prepare catalog for publication
			....			22. Acquire: older Persian & contemporary Iranian materials

NOTE: ....= one year; ////=multi-year; ++++= commitment for future year.

TABLE 5 PROJECT ACTIVITY AND DURATION HEA II-C FY 78-81 (2 of 6)

PARTICIPATING INSTITUTIONS	FY 78	FY 79	FY 80	FY 81	FY 82	Project Number and BRIEF DESCRIPTION OF FUNDED PROJECTS
13. Cleveland PL				....		23. Bib Control: input ceased serials to area union data base; add to OCLC.
14. Colorado State	////	////	////			24. Bib Control: catalog a subset of US Govt docs not in Monthly Catalog; add to OCLC
15. Columbia U		....				25. Preserve: film and catalog rare Chinese material, incl. early politics, history.
		....				26. Preserve: Amer Architectural drawings from Avery archives
		....				27. Preserve: literary and art posters from Engel Collection
		....				28. Preserve: rare historical works in medicine and science
		....				29. Catalog: microfilm master negatives
						Preserve: see project #58, NYPL
16. Cornell U		////	////	////		30. Acquire & Catalog: Southeast Asian, East Asian, South Asian material
						Bib Control: see project #59, NY State
17. John Crerar						Bib Control: see project #19, Chicago
18. Dartmouth				....		31. Bib Control: clean Mss. & monographs on Polar Regions; input to RLIN
				....		32. Preserve: Clean, repair, rebind Mss. & monographs on Polar Regions
19. Duke U	....		....			33. Acquire: current and retrospective materials in assigned collecting areas A joint project with: UNC, NC State
						Bib Control: see project #61, UNC
20. Emory U						Bib Control: see project #34, U Florida
21. U of Florida				....		34. Bib Control: create SE/ARL serials data base; CONSER format; input to OCLC A joint project with: Emory, Fla. State, U of Ga; U of Ky; U. of Miami. Fla.; U of Tenn; VPI.
22. Florida State						Bib Control: see project #34, U Florida
23. Folger Shakespeare	....					35. Bib Control: purchase equipment for entry to RLIN membership
	....					36. Preserve: purchase equipment for photographic and microfilm reading services
	....					37. Preserve: purchase equipment for repair and preservation of special collections
	....					38. Acquire: fill in gaps of rare books, film and reproductions of rare materials
24. U of Georgia						Bib Control: see project #34, U Florida
25. Harvard	....	....	....	....		39. Preserve: identify fragile, rare items; assign priority and microfilm
26. U of Hawaii				....		40. Bib Control: convert bibliographic records of Pacific Collection for input to OCLC

NOTE: .... = a one year project; //// = multi-year; ++++ = commitment for future year.

TABLE 5 PROJECT ACTIVITY AND DURATION HEA II-C FY 78-81 (3 of 6)

PARTICIPATING INSTITUTIONS	FY 78	FY 79	FY 80	FY 81	FY 82	Project Number and BRIEF DESCRIPTION OF FUNDED PROJECTS
27. Huntington Library	////	////	////			41. Preserve: purchase equipment, add staff to the bindery to do 17th English pams
	////	////	////			42. Preserve: purchase conservation material; train staff in new preservation technique
	////	////	////			43. Preserve: purchase equipment for photographic laboratory
		....				44. Preserve: planning for rare book collections
			....			45. Preserve: install preservation equipment
28. U of Illinois	////	////	////			46. Acquire: out-of-print books & serials for Slavic Collections
	////	////				47. Acquire: material on Northern Italian history for Cavagna Collection
				////	++++	48. Acquire & Catalog: mathematics titles to start doc delivery; input to OCLC
29. Indiana U	////	////				49. Acquire & Control: convert serial records to CONSER format; input to OCLC
				....		50. Bib Control: catalog microprint set of Eng & Amer Plays of 19th; input to OCLC
30. Iowa State				....		51. Bib Control & Preserve: Amer Archives of Factual Film; input to OCLC
31. U of Kansas		////	////			52. Bib Control: catalog Howey Collection of Economic Thought; input to OCLC
32. U of Kentucky						Bib Control: see project #34, U Florida
33. U of Miami						Bib Control: see project #34, U Florida
34. U of Michigan		////	////	////		53. Bib Control: convert serials records, CONSER format; input to OCLC & RLIN A joint project with: Michigan State and Wayne State
35. Michigan State						Bib Control: see project #53, U Michigan
36. Missouri Botanical Garden	////	////	////			54. Bib Control: recatalog and reclassify bot & ag collections; input to OCLC A joint project with: NY Botanical
37. NY Botanical						Bib Control: see project #54, Mo. Bot.
38. New York Public	....					55. Preserve: replace or film deteriorating volumes, newsprint & pamphlets
	////	////				56. Preserve: in-house documentary preservation of rare prints, Mss., other
	////	////				57. Preserve: microfilm pamphlets, especially unique titles
				....		58a. Bib Control & Preserve: @ NYPL, catalog rare photos; film art pams; input RLIN
				....		58b. Bib Control & Preserve: @ Columbia, catalog backlog, art/arch; input RLIN
				....		58c. Bib Control & Preserve: @ NYU, catalog fine arts & preserve; input to RLIN A joint project with: Columbia & NYU

NOTE: .... = a one year project; //// = multi-year; ++++ = commitment for future year.

TABLE 5 PROJECT ACTIVITY AND DURATION HEA II-C FY 78-81 (4 of 6)

PARTICIPATING INSTITUTIONS	FY 78	FY 79	FY 80	FY 81	FY 82	Project Number and BRIEF DESCRIPTION OF FUNDED PROJECTS
39. New York State Library	////	////	////			59. Bib Control: input selected monographic holdings to OCLC from each participant A joint project with: NYU, Cornell, SUNY Albany, SUNY Binghamton, SUNY Buffalo, SUNY Stony Brook
40. New York University						Preserve: see project #58, NY Public
						Bib Control: see project #59, NY State
41. Newberry				....		60. Preserve: identify & replace heavily used British, Amer history; input to OCLC
42. U of North Carolina, Chapel Hill						Acquire: see project #33, Duke U
		////	////	....		61. Bib Control: plan, develop & implement local on-line biblio network; COM catalog A joint project with: Duke & NC State
43. North Carolina State						Acquire: see project #33, Duke U
						Bib Control: see project #61, UNC
44. Northwestern		....				62. Bib Control: Index Africana conf. papers; create machine files for uncat. materials
		....				63. Acquire: selected Africana serials, dissertations, microfilm archives.
45. Ohio State				....		64. Acquire: lacunae in agriculture, educ., & engineering
				....		65. Bib Control: catalog agriculture, educ., & engineering; input to OCLC
46. U of Penna			....			66. Preserve & Control: identify & transfer 17th & 18th vols to spec coll; input RLIN
47. Princeton	////	////				67. Bib Control: catalog rare ancient Chinese texts in Gest Oriental Collection
	////	////	////			68. Bib Control: sort & index English & Amer Lit Mss., create on-line file
	////	////				69. Bib Control: prepare index to archives of American Civil Liberties Union
	////	////	////			70. Bib Control: microfilm Garrett Arabic Mss. Collection
48. Rutgers U		....				71. Acquire: rare sound recordings & tapes for Institute of Jazz Studies; input OCLC
		....				72. Bib Control: catalog Ginsburg collection of Soviet Legal materials; input to RLIN
		....				73. Bib Control: convert Classified Abstract Archive of Alcohol Lit to on-line file
		....				74. Preserve: material in Work Projects Admin. Amer. Imprints Inventory; publ. checklist
49. U of South Carolina						Bib Control: see project #85, U Virginia
				....		75. Bib Control: catalog Fox Movietone News, to an on-line file

NOTE: .... = a one year project; //// = multi-year; ++++ = commitment for future year.

TABLE 5 PROJECT ACTIVITY AND DURATION HEA II-C FY 78-81 (5 of 6)

PARTICIPATING INSTITUTIONS	FY 78	FY 79	FY 80	FY 81	FY 82	Project Number and BRIEF DESCRIPTION OF FUNDED PROJECTS
50. U of Southern California		....				76. Bib Control: index Universal Pictures Mss. collection; generate computer index
				....		77. Acquire & Catalog: material on aging for Gerontology Center; start a network
51. Southern Illinois U				////	++++	78. Acquire, Preserve, & Bib Control: Archives of Living Philosophers; publ. guide to philosophy manuscript collections
52. Stanford						Bib Control: see project #17, UCB
				....		79. Bib Control: catalog microprint set Early Amer Imprints, 2nd Ser.; input to RLIN
53. SUNY, Albany						Bib Control: see project #59, NY State
54. SUNY, Binghamton						Bib Control: see project #59, NY State
55. SUNY, Buffalo						Bib Control: see project #59, NY State
56. SUNY, Stony Brook						Bib Control: see project #59, NY State
57. U of Tennessee						Bib Control: see project #34, U Florida
58. U of Texas, Austin		////	////			80. Acquire: Latin American materials
	....	////	////			81. Bib Control: inventory Latin American materials
	....	////	////			82. Bib Control: convert Latin Amer serial records to CONSER format; input to OCLC
				....		83. Preserve & Catalog: microfilm unique Mex & Latin Amer serials; input to OCLC
59. U of Utah				////	++++	84. Bib Control: catalog Landmarks of Science input to OCLC
60. Vanderbilt						Bib Control: see project #85, U Virginia
61. U of Virginia		....				85. Bib Control: convert shelflist of rare & special collection items; input to OCLC A joint project with: U Alabama, U South Carolina, Vanderbilt
62. Virginia Polytech Inst						Bib Control: see project #34, U Florida
63. U of Washington	....					86. Bib Control: enter bibliographic serials data to WLN and OCLC; produce catalog
			....			87. Bib Control: enter cataloging data for forest resources collection to OCLC & WLN; produce microfiche catalog
				....		88. Bib Control & Preserve: index rare explorer journals; preserve same
				....		89. Preserve & Control: index Indian-related photos; preserve same; produce fiche catl.
				....		90. Preserve & Control: restore archival recordings of Indian languages; index Mss; produce guide
64. Wayne State						Bib Control: see project #17, UCB
65. U of Wisconsin, Madison	....	....		....		91. Acquire: fill in gaps in collection
	....	....				92. Bib Control: add titles to OCLC/CONSER file; add location symbols to OCLC

NOTE: .... = a one year project; //// = multi-year; ++++ = a commitment for future year.

TABLE 5 PROJECT ACTIVITY AND DURATION HEA II-C FY 78-81 (6 of 6)

PARTICIPATING INSTITUTIONS	FY 78	FY 79	FY 80	FY 81	FY 82	Project Number and BRIEF DESCRIPTION OF FUNDED PROJECTS
65. U of Wisconsin, Madison (cont'd)		....				93. Preserve: start a major program to film and/or preserve unique materials
				....		94. Preserve: microfilm & repair rare German items, incl Mss., pamphlets, serials
66. Yale	////	////				95. Preserve: gain control of Mss. and archives
	////	////				96. Preserve: historical sound recordings
			....	....		97. Bib Control: develop programs to catalog Mss. for RLIN files; create data base

NOTE: .... = a one year project; //// = multi-year; ++++ = commitment for future year.

Collection Development

It is the conventional wisdom of the current decade that the library collections of a college, univeristy, or other major research institution should support the curricula and research programs of that institution, without duplicating unique research library resources in the region or nation. While the availability of major microfilm collections has put otherwise rare and out-of-print material into research libraries at prices within reach (such as Early American Imprints, Series 1 and 2; Early English Books, Series I and II; English and American Plays, 19th Century; American Architectural Books; Landmarks of Science, Series I and II; Pamphlets in American History; and Western Americana, to name only a few of the best sellers), the scholarly research community has come to expect specialization in its library collections. The nation can boast a number of uniquely comprehensive library collections in certain well defined subject areas, such as Latin America at the University of Texas, Austin, Asian Studies at Cornell, the Middle East and Asia at the University of Chicago, Natural History at the American Museum of Natural History, Shakespeare at the Folger Shakespeare, to name only several of the hundreds of significant library collections which support national and international scholarly research as well as the work of their primary clientele.

Many of these subject collections were built or substantially strengthened during the 60's and 70's, with the influx of federal funds, favorable buying conditions and programs such as the Latin American Cooperative Acquisitions Program (LACAP) which channeled significant numbers of Latin American publications into the academic libraries of this country. The PL 480 program, authorized by Congress in 1961 for acquisition and cataloging of multiple copies of publications from eight countries where U.S. currencies were blocked, brought literally tons of potential research material from Asia, the Middle East and Central Europe. The Center for Chinese Research Materials was formed by the Association of Research Libraries in 1968 to acquire, reprint and distribute selected scholarly Chinese material, considered to be valuable but inaccessible. A great number of academic research libraries benefited from these programs through new areas of collection development or greatly enhanced subject strength.

During this same time several groups of research libraries were formed in various parts of the country to coordinate collection building, delivery systems, reciprocal borrowing, expanded interlibrary loan services, purchase notification systems, and other similar plans. Notable among these cooperative ventures were the Five Associated University Libraries (FAUL) in New York (Buffalo, Rochester, Syracuse, Cornell, and Binghamton); the Middle Atlantic

Research Libraries Information Network (MARLIN); the North Dakota Network for Knowledge which joined seventeen academic libraries and thirteen public and special libraries; the Librarians of the Council of Independent Kentucky Colleges and Universities which involved twenty-one institutions; and the original Research Libraries Group (RLG), formed in 1973 to include Harvard, Yale, Columbia, and the New York Public Library.[48] These groups were concerned about regional duplication of resources and the need to share material; likewise, they were concerned about signs of downturn in the economy, the rapid rise of the cost of primary research materials and competition among themselves for unique material.

By the mid 70's when legislation to strengthen research library resources was debated in the U.S. House and Senate hearings the tide of concern had shifted from building collections to strengthening and preserving those which were recognized as major research collections. The collection development projects funded under HEA II-C guidelines reflect this sense of national priorities.

Several of the collection development projects deserve a more detailed description of project objectives:

University of Chicago: FY 80 To strengthen the resources of a national center for Iranian studies through the acquisition of older Persian materials and contemporary Iranian publications, through the purchase of private

collections owned by two leading scholars living in Iran.

University of Chicago: FY 79-81 A structured three-year program was conducted for the South Asian collection, considered one of the strongest in the world. The collection includes materials in English, the major South Asian languages of Indo-Aryan and Dravidian tribal languages and regional dialects. Retrospective works needed to strengthen the collection were identified and acquired.

Cornell University: FY 79-80 The project strengthened three geographical areas of the unique Asian resources of Cornell to make them more accessible to the world of scholarship. The Asian collections have been developed at Cornell since the 19th century. The Southeast Asia collection was augmented by the acquisition of 1,000 serial titles and 500 foreign dissertations; the East Asia collection was developed by the acquisition of Chinese manuscripts and documents on microfilm and by the pruchase of material on Japanese Buddhism and drama. The South Asia holdings were strengthened by the acquisition of monographs in subject areas not covered by the PL 480 program and by the purchase of serials to fill gaps in existing sets.

Duke University, jointly with the University of North Carolina and North Carolina State University, Raleigh: FY 78, FY 80 To promote the continued cooperative development of their collections, these three institutions used the entire amount requested for acquisition purposes in the

area of current and retrospective materials which will build on distinct subject and area strengths and which correspond to assigned responsibilities under existing collection development agreements.

University of Illinois: FY 79-80 This three year proposal strengthened the university's Slavic Reference Service and other resource sharing activities by adding about 8,000 volumes of out-of-print serials and monographs to the library's distinguished Russian and Soviet collections. The aims were to build complete runs, unique outside the Soviet Union, of some 300 scholarly serial titles and to strengthen monograph holdings in Russian history and literature.

Southern Illinois University: FY 81-82 In this two-year undertaking the university will acquire the archives of the Library of Living Philosophers, a manuscript collection central to the study of modern philosophy. Items requiring preservation will be identified and appropriately handled, and a guide to the philosophy collections will be published.

University of Texas, Austin: FY 78-80 The acquisitions component of the project added 8,500 volumes of Latin American materials to support modern Latin American studies, strengthening and maintaining this major library resource.

University of Wisconsin, Madison: FY 78-79, 81 Funds were used to acquire additions to existing collections where

interlibrary loan requests have revealed omissions in areas in which the university has recognized strengths and unique materials. Major allocations fall into the area of monographic publications, serial backfiles in microfilm or hard copy, and filming projects to bring unique or short-run archival publications from abroad into the collections.

There are those who have argued that too low a proportion of total HEA II-C funding has been appropriated for collection development: 12% overall, or $2,690,000 of $23,000,000 appropriated. There are those who argue that the old established collections have received a disproportionate share of funds available, to the disadvantage of smaller institutions, still trying to "catch up" in the race to be recognized as "major research library." However, a deeply rooted, well defined research collection can make an excellent argument for its usefulness to a similarly defined segment of the scholarly research community, a strength which could be augmented and shared as a national resource. Many of the funded HEA II-C collection development projects reflect this argument. The question that is missing here as with preservation and bibliographic control projects is this: Has the best collection in a defined subject area been strengthened? The answer, of course, lies in the public policy dilemma of whether the federal government should target programs for funding or should select only among those which seek funding with a viable plan of

action, evaluation, and commitment. The HEA II-C program follows the latter course by selecting proposals which warrant funding but does not address the question of which collections in the nation are "best."

This Table shows each of the awards made for collection development during the period 1978-1981 of HEA II-C funding.

TABLE 6 COLLECTION DEVELOPMENT: Rank Order Table by Allocation and Fiscal

RANK	AWARD INSTITUTION	YR	TOTAL $	FY 78	FY 79	FY 80	FY 81
01	Duke, UNC, NC State	78	$ 250,000	$ 250,000	$	$	$
02	Duke, UNC, NC State	80	250,000			250,000	
03	Cornell	79	194,897		194,987		
04	U of Chicago	80	175,000			175,000	
05	Amer Mus Nat Hist	78	170,600	170,600			
06	Northwestern	79	160,948		160,948		
* 07	U of Illinois	79	125,000		125,000		
08	Amer Mus Nat Hist	80	119,544			119,544	
09	Amer Mus Nat Hist	79	117,980		117,980		
10	Art Inst Chicago	78	105,400	105,400			
11	Folger Shakespeare	78	100,000	100,000			
12	Southern Illinois	81	100,000				100,000
13	Ohio State	81	96,780				96,780
14	Southern California	81	87,653				87,653
15	U of Arizona	80	79,650			79,650	
16	U of Texas, Austin	78	76,430	76,430			
17	Cornell	81	72,300				72,300
18	U of Illinois	78	70,216	70,216			
19	U of Illinois	80	64,920			64,920	
20	Brown	80	55,307			55,307	
21	Cornell	80	54,484			54,484	
22	U of Chicago	81	51,820				51,820
23	U of Texas, Austin	79	28,558		28,558		
24	Indiana	78	22,457	22,457			
25	U of Texas, Austin	80	21,546			21,546	
26	U of Illinois	81	18,700				18,700
27	U of Chicago	80	18,611			18,611	
28	U of Chicago	79	1,050		1,050		
	TOTALS		$2,689,851	795,103	628,433	839,062	427,253

Preservation

The 27th Annual Allerton Park Institute, November 15-18, 1981, sponsored by the University of Illinois at Urbana-Champaign, was devoted to Conserving and Preserving Library Materials, evidence of the longterm concern raised by deteriorating library collections. Preservation of library resources has been a concern and a challenge to research library professionals for most of this century, as Darling and Ogden recount in their article on preservation of library resources in the U.S.A.[49]

As collections of library materials begin to show signs of wear and tear from heavy use or begin to crumble on the shelves from age, acid paper or poor environmental conditions, it is now typical for the institution to respond with modest programs to try to halt the deterioration or to try to reverse it if technically feasible.

Leadership for preservation programs has been provided by The Council on Library Resources through a variety of projects, including "a full-time laboratory devoted to chemical research on paper deterioration and the development of techniques to retard it."[50] In addition the Council has worked closely with the publishing industry to develop specifications for paper and bindings.

> "Much of what has been accomplished in the area of preservation in the last twenty-five years has been made possible through an array of grants furnished and programs administered by the Council."[51]

In 1975 Gay Walker prepared a survey of preservation activities in large U.S. academic libraries which "revealed widespread problems of deterioration of library materials."[52] A publication from the Research Libraries Group in 1981 notes that "highly acidic or otherwise substandard papers in books, serials and other ephemeral material, which give them a lifespan of only a few decades, have become a major problem for research libraries."[53]

Writing about collection development, collection management, and preservation, Dan Hazen provides a working definition of the scope of preservation problems:

> "Preservation may be understood as subsuming three main kinds of activity. The first focuses on library environments and ways to make them more congenial to their contents. The second incorporates efforts to extend the physical life of documents through such means as deacidification, restoration, and binding. The third involves the transfer of intellectual or informational contents from one format or matrix to another."[54]

Noting that preservation cannot be a once-and-for-all activity, Hazen summarizes:

> "Deterioriation may be slowed, but permanence is impossible. Long-term preservation thus requires either a repetition of similar operations - periodic deacidification and rebinding, for instance - or a sequence of distinct activities - microfilming the decaying published transcript of a long-since disintegrated manuscript."[55]

As a footnote to the past and future of document reproduction and micrographic technology, Allen Veaner observed that the first practical device for photocopying scholarly material, a Photostat, was installed at the New

York Public Library in 1912.[56] From that now commonplace start, the incredible future holds the potential for digitizing graphic data, such as demonstrated with digitized photographs from space probes and satellite imagery which show "what digitizing can do for high-precision storage and transmission of information."[57] Veaner, always practical, reminds us that "the possibilities of reducing much of our printed and graphic heritage to digitized form cannot be ignored, even though it would be very costly."[58]

William Welsh reports that the Library of Congress is investigating the potential of videodisc as a means of preserving irreplaceable historic documents, to be accessible from regional centers via on-line technology and remote terminals. The Research Libraries Group plans to "experiment with new technologies in the preservation field, including optical scanning and mass storage."[59]

Given the variety of technological tools, it is unfortunate that the nature of projects proposed for funding under the HEA II-C program were far more traditional than technology permits. It is strongly recommended that HEA II-C funding support innovative demonstration projects which use the advanced technology available to us in the 80's, if only to test the potential for future application and to suggest standards.

Among the preservation projects funded under the HEA II-C program, 1978-1981, these warrant special note:

University of Alaska: FY 79 The Alaskan and Polar Region Collection Enhancement project identified and preserved materials in the collection, regardless of format, that were in immediate danger of damage and/or deterioration. Preserved by conversion to safety film are some extremely valuable scenes from Alaska's earlier days.

Columbia University: FY 79 Through preservation microfilming and conservation treatment, unique and valuable materials were secured against deterioration and loss. (1) Rare Chinese materials, including items relating to the early politics, history, and laws of the Republican period were filmed and cataloged; (2) 1500 American architectural drawings from the Avery archives were restored and preserved; (3) over 1000 rare literary and art posters from the Engel Collection were repaired and given preservation treatment; (4) Rare historical works in medicine and science were restored to useable condition and protected from further deteroriation; and (5) 6000 microfilm master negatives were bibliographically verified and reported to appropriate agencies to make them accessible and to preclude costly duplicate filming.

Dartmouth College: FY 81 This project will provide for the conservation of the unique materials within the Polar Regions Collections, both monographs and manuscripts.

Harvard: FY 78, 79, 80, 81 Materials that are not available for lending because of fragility or rarity are

being identified and a priority established for preservation microfilming. One master negative and one positive copy are being made of each item assigned a high priority. Other research libraries are being notified of the availability of lending copies of all material filmed, and positive copies can be purchased at cost. Special segments included Judaica ephemera, Chinese ephemera, and Slavic materials.

Henry E. Huntington Library: FY 78-80 Three service departments were strengthened through the addition of staff and equipment: the bindery, the manuscript conservation laboratory, and the photographic laboratory. The project was designed to upgrade the quality and increase the quantity of work done in these three departments to insure their future usefulness and enable the distribution of materials to a wider audience.

New York Public, jointly with New York University and Columbia University: FY 81 This is a major cooperative activity to preserve the special art and architectural resources of the three institutions.

New York Public: FY 78-79 Three conservation projects were supported. (1) The preservation microrecording project included replacing deteriorating volumes in the catalogued collection, continued cooperative filming projects, filming new acquisitions printed on low-grade, rapidly-disintegrating paper, and microfiching recently acquired pamphlets. (2) The documentary preservation

project permitted in-house preservation of approximately 12,000 rare and scarce books, prints, posters, manuscripts, and other graphic documents. (3) Pamphlets have always been one of the Library's special collecting interests. Funds were used to identify and microfilm approximately 75,000 rare pamphlets which are now deteriorating at an alarming rate.

Yale: FY 78-81 This multi-faceted project has its objective to make important manuscript collections in history, political science, and related fields more accessible for the purposes of research. This is being done in three ways: first, to improve the level of physical and intellectual control over manuscript collections, especially the large backlog of partially processed materials; second, to preserve information by photocopying materials now closed to research or which are in imminent danger of being lost because of their poor physical condition; and third, to develop improved means for communicating knowledge about the research potential of these collections for scholars, specifically by developing a prototype for a computer based cataloging system for manuscript collections which could be replicated elsewhere in the nation.

The element that is missing from this review of funded projects is an assessment of the amount of work which needs to be accomplished to preserve national library resources for future research. While educated guesses could

be made, based on the extent of world-wide publication housed in the research libraries of this country, it would also be useful to analyze the contents of proposals submitted to the Department of Education but not approved for funding under HEA II-C. Those applications have the potential of revealing a wealth of information about the existence of unique research material and the extent of collection deterioration. It is a recommendation of this study that the unfunded proposals be made available for continued study.

The table on the following page shows each of the awards made for preservation of library materials during each of the fiscal periods, 1978-1981 of HEA II-C funding. The awards are listed in descending rank order, from largest to smallest, and by fiscal year. Several institutions received continuation grants to accomplish work which could not be finished in a single year.

TABLE 7 PRESERVATION: Rank Order Table by Allocation and Fiscal Period

RANK	AWARD INSTITUTION	YR	TOTAL	FY 78	FY 79	FY 80	FY 81
01	New York Public Lib	78	$ 550,700	$ 500,700	$	$	$
02	Harvard	80	396,657			396,657	
03	Harvard	78	383,131	383,131			
04	Harvard	79	300,000		300,000		
05	New York Public Lib	79	300,000		300,000		
06	New York Public Lib	81	251,743				251,743
07	Huntington Library	80	251,551			251,551	
08	Columbia	79	250,000		250,000		
09	Huntington Library	79	225,000		225,000		
10	Boston Public Lib	81	187,069				187,069
11	Huntington Library	78	171,500	171,500			
12	Harvard	81	167,747				167,747
13	Yale	79	160,000		160,000		
14	Yale	78	149,800	149,800			
15	U of Washington	81	140,340				140,340
16	Newberry Library	81	131,658				131,658
17	U of Washington	81	128,604				128,604
18	U of Alaska	79	111,145		111,145		
19	U of Texas, Austin	81	106,934				106,934
20	Yale	80	95,461			95,461	
21	Amer Mus Nat Hist	81	66,688				66,688
22	Art Inst Chicago	78	57,800	57,800			
23	Rutgers	79	43,056		43,056		
24	U of Pennsylvania	80	41,250			41,250	
25	Yale	81	34,428				34,428
26	Dartmouth	81	28,640				28,640
27	Folger Shakespeare	78	27,623	27,623			
28	Southern Illinois	81	27,591				27,591
29	Iowa State	81	23,100				23,100
30	U of Chicago	79	4,000		4,000		
31	U of Chicago	80	4,000			4,000	
32	U of Chicago	81	4,000				4,000
	TOTALS		$4,821,216	1,340,554	1,393,201	788,919	1,298,542

Bibliographic Control and Access

The greatest single deterent to scholarly access to library materials is the lack of a national data base which contains cataloging and location information about unique scholarly research material throughout the country. While it is highly unlikely that a national bibliographic data base physically located in a single place will evolve, "a de facto substitute seems more likely if the major existing bibliographic data bases, taken in the aggregate, can be considered as the 'national' data base."[60] Those HEA II-C projects which were funded to input catalog information to one or several of the major bibliographic utilities will contribute to the rich fabric of a 'national' data base.

A start toward forging a national bibliographic system has been made

> "under the leadership of the Council of Library Resources, which, with the Library of Congress and the National Commission on Libraries and Information Science, has served as the agency to bring together a number of organizations and individuals to participate in the design and initial development of the projected bibliographic service. Grants from private foundations and the National Endowment for the Humanities, totaling over $5 million, have been pledged to cover the first five years of work," 1978 to 1982, on the Council's Bibliographic Service Development Program (BSDP).[61]

The BSDP is working toward three principal goals:

1. Provision of effective bibliographic services for all who need them;

2. Improvement of bibliographic products;

3. Stabilization of costs of many bibliographic processes in individual libraries.[62]

Inherent in this process is the need for national standards, better expressed as "a need for common understanding of the intellectual content of the records and a common agreement on their organization."[63] It should go without saying that utilization of national standards will facilitate communications between and among the bibliographic utilities. As Williamson concludes in her presentation on access to information in the year 2006,

> "Already work has begun on developing yet another standard, a 'common communication format,' which may provide a switching device to facilitate the linkage of several kinds of data bases for more efficient use."[64]

One promising development that became known during the course of this review is that the two major bibliographic utilities (OCLC and RLIN) announced their willingness to load magnetic tapes from the other's files - a major philosophical breakthrough, replete with technological promise. Ultimately, the ideal would be to trade file information directly from one utility to the other; until then, each library must make a decision to load its tapes into the other utility and must pay certain fees for the privilege.

There has been some disagreement in the profession with regard to strict adherence to standards for future HEA II-C projects. Certain libraries feel that future

serials automation and union listing projects be required to adhere to national standards only to the most cost-effective level for the recipient within time and budgetary constraints of the funding agency; others feel that funding, such as through the HEA II-C program, is best spent for projects in which the participants agree to follow CONSER standards, noting that "projects which create less than full standard records only burden other libraries with upgrading the records later."[65] The Final Report of a three year HEA II-C project observes that

> "Following CONSER level standards creates a multi-purpose record, one which can serve a union-listing function, as a basis for cooperative collection development and also supports shared cataloging."[66]

However, even at this stage in this review of four years of funded projects, it is not certain to what extent the CONSER standards and other national cataloging standards were followed rigorously.

Questions which arise with regard to bibliographic access are concerned not only with the content of the record and standards for the composition of the record, but with who shall have direct access to the record and what kinds of access are needed.[67] In a 1980 report to the Council on Library Resources on aspects of On-Line Public Access to Library Bibliographic Data Bases, the authors noted that

> "The concern with public access systems reflects the view that the ultimate purpose of programs for building computerized bibliographic tools is to assist the library user in locating an item or group

of items that serves that user's immediate need."[68] Research libraries now have a growing body of first hand experience which suggests that the library patron can use on-line terminals for library research and will, when terminals are available. Thus questions of access must also address (1) "requirements for formatting and structuring any output expected to be displayed; (2) the search algorithms to be used; (3) interface and compatability among files and data bases created by different agencies."[69]

In addition, there is an urgent need for "competent indexing, based on an understanding of the relationships among users, documents, indexing languages, and the available technology" as a prerequisite to successful subject retrieval.[70]

> "As a particular kind of indexing language, classification can be expected to assume a new and important role in the information environment of the future... With increasing amounts of information browsable only in online systems, the role of classification in information systems has exciting new possibilities.[71]

Unfortunately, the projects funded under HEA II-C guidelines dealt almost exclusively with grinding thousands of records into machine readable form rather than exploration of long range policy issues. The notable exceptions to this generality are the projects at the University of North Carolina, Chapel Hill and at Yale University which are designing systems which could be replicated for other research collections. It could be argued that the

objectives of the HEA II-C program are those of the work-horse, to enrich the national data base by bringing unique resources under control, whether by cataloging, computer listing, published guides or by other techniques, such as preservation and collection building.

There is another substantial area of bibliographic control which must be mentioned in connection with any program to help strengthen the national data base - that is the issue of microfilms cataloging and subsequent addition of the cataloging information to a national on-line file. The Association of Research Libraries has undertaken a massive cataloging project for microfilm sets, drawing on the cataloging efforts of research libraries nationally. As with other shared cataloging projects, the cataloging output is not always acceptable to all who wish to share. Moreover, "the failure to catalog microfilms can easily lead to duplication of resources and can place an unnecessary strain on interlibrary loan."[72] An alternate approach to cataloging microfilms was suggested by Niles in an article on bibliographic access for microfilm collections; the proposal is "that cataloging be abandoned for indexing,"[73] an idea supported by the fact that publishers of microforms already construct and publish indexes to sets, some as a byproduct of production routines.

Among the HEA II-C bibliographic control projects, Stanford University will catalog and input to RLIN Early

American Imprints, 2nd Series; Indiana University will catalog its microprint set of English and American Plays, 19th Century, with input of cataloging data to OCLC; the University of Utah will catalog the Landmarks of Science microform set, entering the data into OCLC.

The publishing industry has also entered the arena of building national bibliographic data bases. A notable recent example is that of the REMARC project from Carrollton Press (and The International Thomson Organization Ltd.) to create a computer based file of the more than 5 million Library of Congress cataloging records which were not among the 1.5 million records converted to machine language under the initial LC MARC program. REMARC is also available through the Dialog retrieval system, filling a major gap in providing access to monographs and other non-serial items. Future refinements of the REMARC project may offer some form of document delivery via an interfaced acquisition system.

As evidence of the substantial file building which has been supported through HEA II-C funding, the two major bibliographic utilities - OCLC and RLIN - have received a rich accumulation of information as described in the summary which follows on the next four pages. In addition, a table of all bibliographic control projects, arranged in rank order by budget, appears at the end of this section.

HEA II-C - Building National Data Bases: RLIN

Fiscal	Institution	Project Activity
80, 81	Brown Univ.	Catalog rare books in Hay and Brown Libraries; input to RLIN
78-80	UC Berkeley	Convert serials records to CONSER format; input to RLIN
81	Dartmouth	Catalog Mss and monographs on Polar regions; input to RLIN
79-81	Univ. Michigan	Convert serials records, CONSER format; input to OCLC and RLIN
81	New York Public	@NYPL: Catalog rare photos; film art pams; input to RLIN @ Columbia: catalog back-log in art/arch.; input to RLIN @NYU: catalog fine arts; input to RLIN
80	Univ. of Penna	Identify and transfer 17th and 18th century vols to special coll; input to RLIN
79	Rutgers	Catalog Ginsburg collection of Soviet legal materials; input to RLIN
81	Stanford	Catalog microprint set of Early Amer Imprints, 2nd Ser.; input to RLIN
80,81	Yale	Develop programs to catalog Mss. for RLIN files, create data base

HEA II-C - Building National Data Bases: OCLC

Fiscal	Institution	Project Activity
81	Acad Nat Sci	Retrospective conversion of library collection into OCLC
78	Amer Mus Nat Hist	Recatalog serial collection in CONSER format
79, 80	Amer Mus Nat Hist	Enter shelf-list and new acquisitions to OCLC
81	Univ Arizona	Input Arid Lands material to OCLC
81	Cleveland Public	Input ceased serials to area union data base; input to OCLC
78-80	Colorado State U	Catalog a subset of US Govt Docs not in Monthly Catalog; input to OCLC
81	Univ Florida	Create SE/ARL serials data base; CONSER format; input to OCLC
81	Univ Hawaii	Convert biblio records of Pacific Collection for input to OCLC
81	Univ Illinois	Process math titles to start Doc delivery system; input to OCLC
78, 79	Indiana Univ	Convert serial records to CONSER format; input to OCLC
81	Indiana Univ	Catalog microprint set of Eng and Amer Plays of 19th Cent.; input to OCLC
81	Iowa State	Catalog Amer Archives of Factual Film; input to OCLC
79, 80	Univ Kansas	Catalog Howey collection of economic thought; input to OCLC

HEA II-C - Building National Data Bases: OCLC pg. 2

Fiscal	Institution	Project Activity
79-81	Univ Michigan	Convert serials records, CONSER format; input to OCLC & RLIN
78-80	Missouri Botanical	Recatalog & reclassify collections; input to OCLC
78-80	NY State Lib	Input selected monographic holdings to OCLC from participants
81	Newberry	Preserve and replace heavily used British, Amer history, input to OCLC
81	Ohio State	Catalog agriculture, educ and engineering; input to OCLC
79	Rutgers	Acquire rare sound recordings for Institute of Jazz Studies; input to OCLC
78-80	Univ Texas Austin	Convert Latin Amer serial records to CONSER format; input to OCLC
81	Univ Texas Austin	Microfilm unique Mexican and LA serials; input to OCLC
81, 82	Univ Utah	Catalog Landmarks of Science; input to OCLC
79	Univ Virginia	Convert shelf-list of rare & special collections; input to OCLC
78	Univ Washington	Enter biblio records of serials to WLN and OCLC
80	Univ Washington	Enter cataloging data of Forest Resources to OCLC and WLN

HEA II-C - Building National Data Bases: OCLC, pg. 3

Fiscal	Institution	Project Activity
78, 79	Univ Wisconsin Madison	Add titles to OCLC/CONSER file; add location symbols to OCLC

HEA II-C - Building National Data Bases: Local Development

Fiscal	Institution	Project Activity
78	Univ Chicago	Create data base of science serials; jointly with John Crerar and CRL
79-82	Univ NoCaro Chapel Hill	Plan, develop and implement local on-line biblio network
81	Univ SoCaro	Catalog Fox Movie Tone News; add to local on-line file

This Table shows each of the awards made for bibliographic control and access during each of the fiscal periods, 1978-81; several of the projects continue for more than one year.

TABLE 8 BIBLIOGRAPHIC CONTROL: Rank Order Table by Allocation and Fiscal

RANK	AWARD INSTITUTION	YR	TOTAL	FY 78	FY 79	FY 80	FY 81
01	UC Berkeley (JT)	80	$ 995,781	$	$	$ 995,781	$
02	U of Florida (JT)	81	800,000				800,000
03	UC Berkeley (JT)	79	750,000		750,000		
04	UC Berkeley (JT)	78	675,000	675,000			
05	U of Michigan (JT)	80	606,000			606,000	
06	New York Public (JT)	81	411,073				411,073
07	Indiana	78	366,649	366,649			
08	U of Michigan (JT)	79	350,000		350,000		
09	UNC, Duke, NC State	80	321,445			321,445	
10	N Y State Lib (JT)	80	305,849			305,849	
11	U of Michigan (JT)	81	300,000				300,000
12	U of Virginia (JT)	79	300,000		300,000		
13	UNC, Duke, NC State	81	270,937				270,937
14	U of Chicago	78	250,000	250,000			
15	N Y State Lib (JT)	78	250,000	250,000			
16	N Y State Lib (JT)	79	250,000		250,000		
17	Princeton	79	250,000		250,000		
18	Mo Bot Garden (JT)	80	244,571			244,571	
19	Boston Public Lib	78	238,240	238,240			
20	Colorado State	80	236,356			236,356	
21	UNC, Duke, NC State	79	220,500		220,500		
22	Princeton	78	219,395	219,395			
23	Colorado State	78	219,103	219,103			
24	Brown	80	217,164			217,164	
25	Colorado State	79	215,000		215,000		
26	Cornell	81	212,339				212,339
27	Stanford	81	209,013				209,013
28	Indiana	79	200,000		200,000		
29	Mo Bot Garden (JT)	78	200,000	200,000			
30	Mo Bot Garden (JT)	79	200,000		200,000		
31	Southern California	79	200,000		200,000		
32	Yale	80	195,474			195,474	
33	Yale	81	193,572				193,572
34	Cornell	80	185,929			185,929	
35	U of Arizona	81	184,785				184,785
36	U of Wisconsin	79	182,000		182,000		
37	U of Texas, Austin	78	173,570	173,570			
38	U of So Carolina	81	172,000				172,000
39	Brown	81	165,000				165,000
40	Rutgers	79	156,944		156,944		
41	Princeton	80	153,661			153,661	
42	U of Texas, Austin	80	153,454			153,454	

Table continued next page

This Table continues the listing of awards made for bibliographic control and access during the fiscal periods 1978-81; several of the projects continue for more than one year.

TABLE 8 BIBLIOGRAPHIC CONTROL: Rank Order Table by Allocation and Fiscal

RANK	AWARD INSTITUTION	YR	TOTAL	FY 78	FY 79	FY 80	FY 81
43	Boston Public Lib	79	150,000		150,000		
44	U of Washington	80	150,000			150,000	
45	U of Hawaii	81	150,000				150,000
46	Indiana	81	145,000				145,000
47	U of Kansas	80	136,967			136,967	
48	U of Pennsylvania	80	126,489			126,489	
49	Amer Mus Nat Hist	79	124,185		124,185		
50	U of Arizona	80	122,899			122,899	
51	Cntr Research Libs	81	122,809				122,809
52	U of Texas, Austin	79	121,442		121,442		
53	Dartmouth	81	121,360				121,360
54	Amer Mus Nat Hist	80	118,275			118,275	
55	U of Kansas	79	116,689		116,689		
56	U of Utah	81	110,883				110,883
57	Iowa State	81	104,875				104,875
58	U of Illinois	81	101,300				101,300
59	Amer Mus Nat Hist	81	99,851				99,851
60	U of Washington	78	93,327	93,327			
61	Northwestern	79	89,052		89,052		
62	Wisconsin	78	85,255	85,255			
63	Ohio State	81	82,220				82,220
64	Cleveland Public Lib	81	80,306				80,306
65	Amer Mus Nat Hist	78	79,400	79,400			
66	U of Texas, Austin	81	67,066				67,066
67	U of Chicago	79	63,699		63,699		
68	U of Chicago	80	56,429			56,429	
69	Southern Illinois	81	52,409				52,409
70	Academy Nat Sciences	81	43,680				43,680
71	Southern California	81	39,042				39,042
72	U of Alaska	79	38,855		38,855		
73	U of Washington	81	34,685				34,685
74	Folger Shakespeare	78	14,000	14,000			
TOTAL			$15,443,653	2,864,339	3,978,366	4,326,743	4,274,205

C. Commitment Beyond HEA II-C Funding

It is difficult to assess the true commitment which an institution is prepared to render a project, such as those funded through HEA II-C awards. For the most part, the collections which sought assistance under the provisions of HEA II-C had been acquired by the research library earlier in its history, such as the Gest Oriental collections at Princeton University, the periodical holdings at the University of California, Berkeley and Los Angeles, and at Stanford University, and the architectural collections at the New York Public Library, Columbia University and New York University. In preparing its proposal for funding, the applicant research library was required to outline its commitment to project material beyond HEA II-C funding; applications were reviewed and scored on aspects of such planning and apparent commitment.

In my questions to project directors, I asked what commitment the institution had to each funded project; in most cases, the directors responded that HEA II-C funding would either complete work to be done in a particular area or that the institution would seek resources to continue the work. It remains to be seen if the work of the projects is continued beyond HEA II-C funding or if these projects revert to a more dormant position in the list of institutional priorities.

It is my sense that the publicity generated within the scholarly research community about certain of the projects and the inclusion of bibliographic data in national data bases for items from special research collections will increase the use of these collections for scholarly purposes, making it unlikely that they will recede into oblivion. An interesting test of this thesis would be to examine the scholarly output in selected subject areas where a major research resource was strengthened through HEA II-C funding to see if use of the collections and published works have increased in a time period following the work of these projects.

D. Other External Sources of Funding

It has been exceedingly difficult to determine the extent of other external funding available to those institutions which received HEA II-C grants for particular projects to continue the same or similar projects. Some of the applicant proposals noted the fact that they were applying for funding through the National Endowment for the Humanities (NEH) for a "Challenge" grant; some noted that additional funds had been made available or were likely.

Of the three general authorized areas of project activity - acquisitions, preservation, and bibliographic control and access - preservation work has attracted significant external funding, especially from NEH.

Institutions which shared information about this question include:

American Museum of Natural History with private gifts for retrospective acquisitions and support of OCLC conversion;

Cornell which reports occasional gifts to support its Asian collections;

Harvard which reports assistance from NEH for special projects and an additional endowment being sought;

The Henry E. Huntington Library which reports a Mellon Foundation Grant for endowment which must be matched to continue preservation objectives;

Iowa State University which expects an endowment to continue the preservation and access project for American Archives of the Factual Film;

The University of Kansas which reports an NEH grant for editing OCLC archival tapes and production of a book catalog of the History of Economics Collection;

The New York State Department of Education and State Library which reports the availability of state funds for retrospective conversion and LSCA funds for the same activity;

Northwestern University which reports that NEH is currently funding a different Africana project for the library collection which complements work undertaken with HEA II-C funds;

Princeton University which reports an application to NEH to continue the work of the Literary Manuscripts project;

Southern Illinois which reports continued efforts to increase endowment support for its Library of Living Philosophers Archives.

Within the past year a number of substantial awards to support projects similar to the HEA II-C efforts have been announced. In the January 1982 C&RL News it was reported that the Andrew W. Mellon Foundation had awarded a $185,000 grant to the John Hopkins University Library "to strengthen the library's preservation program...through the

addition of a qualified paper conservator, and by expansion of its program of education and technical training." The training program will enable Johns Hopkins' Eisenhower Library "to conduct workshops and to sponsor consultancies and internships which will be offered to other libraries in the mid-Atlantic region and to members of the Research Libraries Group."

In related news, the January 1982 issue of C&RL News reported that the Association of Research Libraries had been awarded $53,000 by the Andrew W. Mellon Foundation to support a program to improve bibliographic access to microform collections in North American Libraries. "The Mellon award, together with a $20,000 grant from the Council on Library Resources, assures the funding needed to complete the project."[74]

Likewise, the National Endowment for the Humanities announced its Research Resources Program, funded at $3.4 million for fiscal 1982, to support projects to make research materials in the humanities available to the public. As reported in the April 1982 C&RL News, the NEH Research Resources Program makes awards for the preparation of catalogs, inventories, etc., for collections of materials of "significant value for advanced research in the humanities." This NEH program also "funds archival surveys, model conservation and preservation projects, and projects to improve the ways in which libraries care for research

material of interest to humanist scholars." There appears to be a certain level of federal incentive coupled with expressed need among the scholarly research community which has stimulated private funding efforts in the current year.

In other recent news, the Council on Library Resources has awarded a substantial grant to the Research Libraries Group for the next phase of its Linked Systems Project which is called the "Standard Network Interconnection." As reported in the May 1982 C&RL News, "The work to be performed will cover the design, development, and implementation of the standardized telecommunications link between the systems at RLG, the Washington Library Network, and the Library of Congress." After the interconnection is installed, users of either WLN or RLIN and the Library of Congress will be able to access the bibliographic resources on the other systems.

IV. MECHANICS OF THE PROGRAM

A. Eligibility for Assistance

If the purpose of the HEA II-C program is to promote research and education of higher quality throughout the United States by providing financial assistance to help major research libraries maintain and strengthen their collections and to assist major research libraries in making their holdings available to individual researchers and scholars outside their primary clientele and to other libraries whose users have need for research materials, then which libraries are eligible to receive assistance? Sections 136.04/778.5 (Eligibility for Assistance) and 136.06/778.7 (Criteria for Assistance) must be read together to gain insight to the question.

The statute specifically designates major research libraries as the focus of the program, where "major research library" is defined by the statute as a public or private non-profit institution, including the library resources of an institution of higher education, an independent research library, or a state or other public library (such as a city library) having library collections which meet certain criteria of uniqueness, breadth,

or scholarly significance.

SIGNIFICANCE

The regulation reflects these eligibility requirements in Section 136.04/778.5 and sets standards to measure the significance of the applicant as a major research library in Section 136.06/778.7. The ambiguity present in the Regulation was designed, we are told in the Federal Register, of Wednesday, December 28, 1977, "to avoid imposing rigid and precise eligibility standards which would needlessly bog down the Office of Education in making difficult determinations of what is or is not a major research library." Among the comments received in response to the "Notice of Intent to Issue Regulations" was the recommendation that the definition of major research library "should be broadly defined and should rest upon that portion of an institution's collections which is clearly research oriented and national in character."[75] The commenter also felt that eligibility should be determined by existing strengths of collections, programs of research, and systems of scholarly support, and not by membership in some existing organization or association. No change was deemed necessary in the regulation to address this particular concern as the term "major research library" is already broadly defined in Section 136.04 (a) and the regulation "does not condition eligibility for

assistance on recognition by a national association, since there is no statutory basis for doing so."[76]

At least one commenter was concerned that an institution would not be eligible for HEA II-C funds while a recipient of a grant in the same year under Section 202, Basic Grants of the College Library Resources Program. No change was made in the regulation with regard to this concern, primarily to avoid duplicate funding to an institution.

Among the comments was the question "whether a consortium, applying on behalf of its members, may include the resources of the members as well as of itself?" In clarification we learn that a consortium may apply for an award on the basis of "its own eligibility as a public or private non-profit institution which is a major research library," where the requirements "must be met by the library collections of the consortium institution and not by the separate collections of the members which make up the consortium." Conversely, if a group of major research libraries submit a joint application, each of the potential participant institutions must qualify as a "major research library."[77]

The criteria for determining eligibility for assistance is based on the concept of "significance as a major research library," (136.07/778.7) where significance includes factors about the applicant's library collections,

such as its contribution to higher education and research, its breadth and depth, its national and international significance, its unique nature and the extent to which the library collections are in substantial demand by researchers and scholars not connected with the applicant institution. One commenter requested clarification of the term "significance;" another commenter felt that "criteria to determine significance as a major research library are difficult, whether using either quantitative or qualitative measures," especially given the faulty assumption that unique collections are known to scholars and librarians beyond the primary clientele. In its response, the Office of Education agreed that "unique collections known only to local scholars should necessarily be at a disadvantage since HEA II-C limits eligibility to major research libraries with collections which are recognized as having national or international significance for scholarly research."[78]

Prior to the start of the HEA II-C program, John G. Lorenz, writing in the June 1977 Journal of Library Automation, provided what he termed a "composite nondefinitive definition" of a research library which includes most of the salient factors under review in previous paragraphs in this section:

> "Research libraries are those which build and maintain extensive collections of research materials and make available a large proportion of the

published output of the world in all fields of scholarship and research. Their resources are broadly based, comprehensive, and often unique and, hence, are in substantial demand by and are often made available to scholars and researchers beyond the library's parent institution. Research libraries are distinguished, in other words, by the national or international significance of their collections for higher education and scholarly research. Without the existence of such libraries, the progress of research would be seriously impeded, and researchers would have no obvious source to turn to for the record of our past or for a wide selection of materials currently being published." [79]

Type of Library

Despite the clarification of issues by the Office of Education and four years of experience, the criteria for determing "major research library" still raise the obvious and immediate question: which institutions have a major research library and can thus be eligible for assistance under the provisions of HEA II-C? The answer is that, potentially, all academic libraries which support four year college and university degree programs, all large public libraries with research collections, State Libraries, and many of the nation's special, museum, historical society and medical libraries could be subsummed by a broadly based definition of "major research library." Using these broad descriptions, there are an estimated 4,000+ libraries which could be defined as "major research libraries." A more judicious estimate of the number of library collections which truly make a significant contribution to higher education and research

would include the one hundred U.S. members of the Association of Research Libraries, the fifty State Libraries, the fifty or so major public libraries, and a generous estimate of the number of independent, non-ARL research libraries, such as the American Museum of Natural History, Folger Shakespeare, and the Henry Huntington Library. Given this more selective description, the total number of major research libraries is in the neighborhood of 300 institutions; the statute suggests 150 institutions, which was later interpreted as the maximum number of awards per year.

Given the potential for eligibility, what does the record show with regard to the type of libraries and the number of libraries which apply and which are funded? An analysis of the applications for the first year of funding, FY 78, indicates that of the 101 proposals received, the following distribution by type of library was evident:

Academic, degree granting	70
Independent research libraries	15
Public Libraries	7
State Libraries	3
Other	6
Total Applications	101

Comparable figures for FY 79, 80 and 81 were not available to this review as it had access only to proposals which were funded, not to all applications submitted.

The record for funded proposals by type of library

is shown in the chart below. During the first four years of HEA II-C funding, ninety-eight institutional awards were made; it is interesting to note that of the 98 awards, 32 institutions received multi-year awards and 10 of the awards were cooperative projects, involving a total of 34 institutions.

DISTRIBUTION OF FUNDED PROPOSALS BY TYPE OF LIBRARY

TABLE 9

Type of Library	FY 78	FY 79	FY 80	FY 81	Totals	%
Academic, degree granting library for higher education, etc.	12	20	18	23	73	75%
Independent research library (museum, society, botanical, etc.)	5	4	3	5	17	17%
Public Library	2	1	0	2	5	5%
State Library	1	1	1	0	3	3%
Federal Library	0	0	0	0	0	0%
Total Awards	20	26	22	30	98	100%

Large vs. Small

There has been considerable debate within the academic library community about the extent to which HEA II-C funds have been used to accomplish work at the largest of the major research libraries at the expense of projects for the

smaller research libraries, where collections are also "unique, of national and international significance, and in demand by others than the primary clientele." At the heart of the debate is what Columbia University Librarian Pat Battin terms a "conflict of interest embodied in the HEA II-C legislation which,

> 1. accepts the principle of national responsibility for our research libraries, recognizing that research libraries are not necessarily local and regional strength only, but are part of the 'national research library;'

versus: 2. the requirement for regional distribution."[80] As Battin notes: "the 'regional balance' condition of the HEA II-C legislation is in direct contradiction to the basic criteria for qualification for assistance, because our major research libraries are not equally distributed geographically." To understand the implications of this concern, a set of tables was prepared which display the states within each of the ten designated geographic regions, along with HEA II-C awards for each state in each region. The ARL member libraries in each region have been added to the tables, which appear in Section C of this chapter.

On the other side of the coin, it has been argued that (1) there have been too few separate institutional awards, given the possible number of qualifying institutions; (2) there have been too many multi-year continuation grants, given the number of applications received each year,

thereby limiting a broader distribution of funds; (3) the percentage distribution of funds for collection development was significantly less than for preservation and for bibliographic control, thereby not fulfilling the intent of HEA II-C to strengthen library resources; (4) the program should provide significant support for those research libraries that are still developing, as well as for those which have already attained preeminence.[81]

Taking these issues one by one: First, during the initial four years of HEA II-C, 350 applications for funding were received for consideration, seeking a total of $88 million; the level of funds authorized for this four year period totaled $23 million, or about 26% of the demonstrated need. Given the level of funding available, it was possible to fund 98 of the 350 proposals through awards to forty-six separate institutions over the four year period, FY 78-81. In addition, 20 other institutions participated in the funded HEA II-C projects as joint or cooperative partners, a fact too easily overlooked in the process of counting institutional heads.

Second, of the 98 institutional awards, thirty-two continued funding for multi-year projects such as government documents control at Colorado State University, preservation at Harvard, serials control at the University of California, Berkeley, and collection development at Illinois, each a major project of the scope and national

significance that demands multi-year attention. One could argue that to commit approximately one third of the awards to continuing projects was not an appropriate reflection of national priorities. In fact, the Department of Education and its Office of Libraries and Learning Technologies revised its policies, following fairly widespread concern on this particular issue; only four multi-year projects were authorized in FY 81 compared to fourteen in FY 80.

Third, the research library community has identified three primary areas for the 80's where external assistance is required to strengthen library resources:

+ collection development
+ preservation
+ bibliographic control and access to collections

These program objectives, along with several others, were built into HEA II-C Regulations (136.08/778.9), but without guidance as to priority or balance among them. Consequently, it has fallen to the research library community, through the application and review process, to identify work to be done (application process) and to establish priorities among these needs (review and evaluation process). It seems clear, from the continuing debate on this issue, that there is not a clear national perspective on the extent of work which remains to be done or of the priorities among the projects which could be undertaken. It is my

recommendation that a companion study to this historical review be mounted which would carefully study all the applications received for HEA II-C funding, not just those which were, in fact, funded, which is the scope of this review. Priorities for action change as circumstances change; during the late sixties and early seventies, the top priority for research libraries was acquisition of material to meet the needs of a growing student body, emerging colleges, and a rise in sponsored research. In the 80's, the foremost concern seems to be preservation and control of the published (print, film, electronic data base, etc.) sources currently available to the research library community. To be sure, the availability of new and reasonably priced technology contributes to the pressure to design projects for preservation and bibliographic control in particular. How were the funds allocated to each of the three primary program objectives? A summary of the funding by fiscal year for each of the three program objectives appears as Table 2 of this report; a more detailed analysis is shown in Table 3. As Director Kenneth Peterson notes in his presentation to the May 1981 ARL meeting in New York City, HEA II-C funds were not distributed equally to the three program activities. An abbreviated synopsis of awards for the four year period illustrates the point:

collection development	12% of funds
preservation	21% of funds
bibliographic control	67% of funds
	100% of funds = $23,000,000

In my opinion, the variation in level of funding among the three program activities is to be expected, given the wide range of needs at research libraries, the variability of the quality of the proposals, and the limited funds available for any single year of HEA II-C funding; furthermore, an equal distribution of funds among the three program activities might not have served national priorities as well.

Fourth, in the initial call for comment, several people expressed concern that the proposed regulation seemed to be designed "to make the rich richer." Some of these commenters objected that smaller states without very large research libraries would have difficulty being selected for a grant. Another respondent wanted the regulation to provide an opportunity for funding libraries at developing, predominantly minority institutions. In its response, the Office of Education took the position that the purpose of the HEA II-C program is to assist the strong major research libraries which serve as national resources so that they can better perform the function of "national resource." It is not the purpose of the program to assist developing libraries to become major research

libraries, a point made clear in the statutory definition of a "major research library" eligible for assistance, as read in Section 233 of the authorizing legislation (Public Law 94-482, October 12, 1976). However, in its response, the Office of Education noted that "particular small libraries in small states and particular libraries at developing institutions can be funded if they are able to demonstrate that they are a major research library under the statute and regulation."[82] Thus it seems clear that the enabling statute for HEA II-C defines "major research library" in terms broad enough to include developing research libraries as well as the old, established main-line group; however, the criteria for assistance place the burden of establishing "significance" on the applicant institution, to be reviewed and scored by a review team chosen from the research library community. If one compares a rank ordered list of ARL member libraries to the dollars awarded to each institution, the record fails to confirm the expected straight line relationship of big dollars to big institutions and small dollars to small institutions. In fact, overall funding appears to be clustered among the mid-sized ARL libraries at the $250,000 project level.

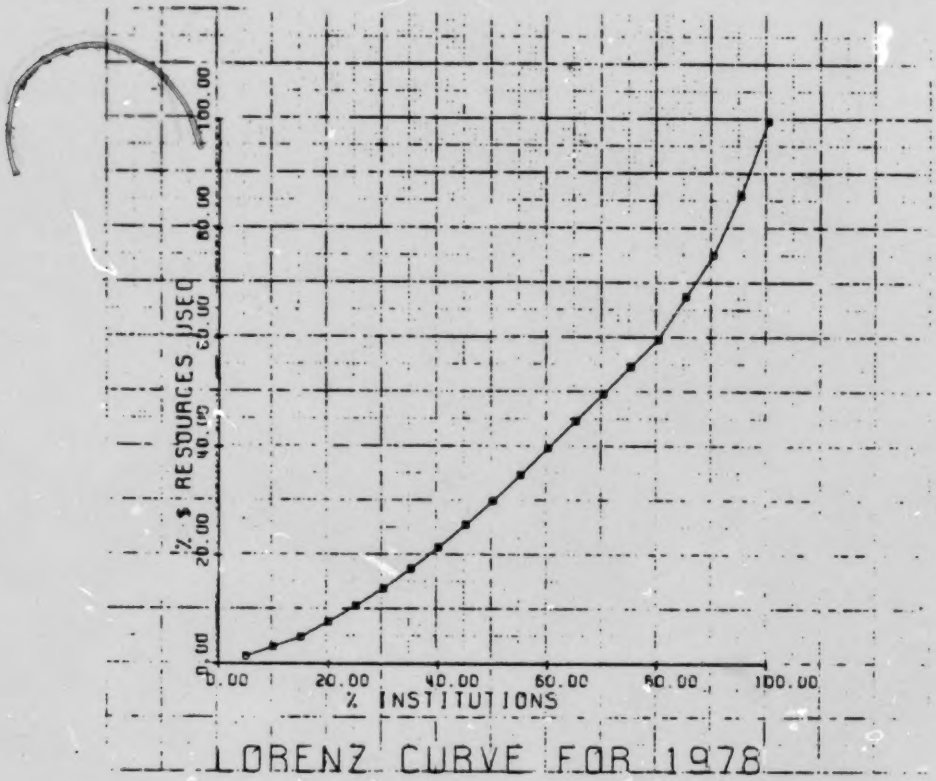
So pervasive are these issues to discussions of the HEA II-C program that I offer two graphic interpretations of the thorny issue of distribution of funds among recipient institutions. The two statistical techniques employed to

explore the question are the scatterplot, which compares a rank ordered list of recipient institutions with the allocation for each award, and the Lorenz Curve, which compares cumulative percent of funds allocated to the cumulative percent of the number of awards made. The Lorenz Curve views the data for each of the four fiscal periods under review; while the scatterplot examines the data by type of activity, where each separate award is designated by a point on the scatterplot. A more detailed analysis follows.

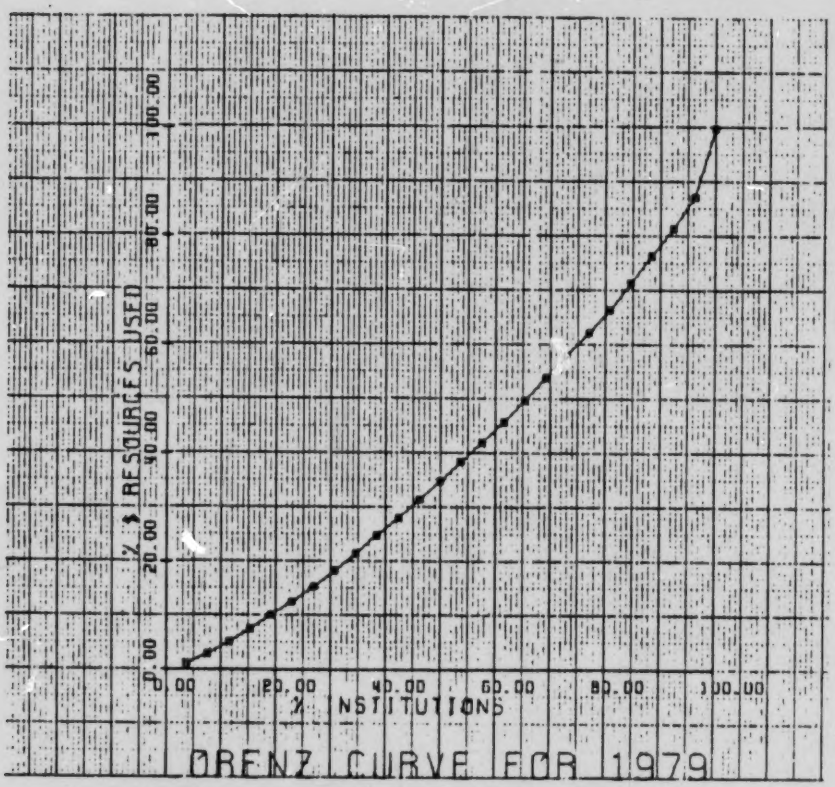
The Lorenz Curve

A two-dimensional graph known as the "Lorenz Curve" can be used as a compact way of representing how dollar resources are distributed over a set of individuals or institutions. Four curves of this kind have been constructed to show the total awards for each year of the HEA II-C grants studied in this report. The annual awards are arranged in rank order from smallest to largest, cumulated, and then each award is shown as a cumulative-dollar percentage relative to a cumulative percentage of institutions represented. Each point on the curve thus represents two values. The value on the horizontal (X-) axis is a cumulative percentage of institutions represented, calculated by dividing each successive cumulative count of institutions by the total number that received grants that year

TABLE 10 Percent of Dollars Awarded Compared to Percent of Number of Awards



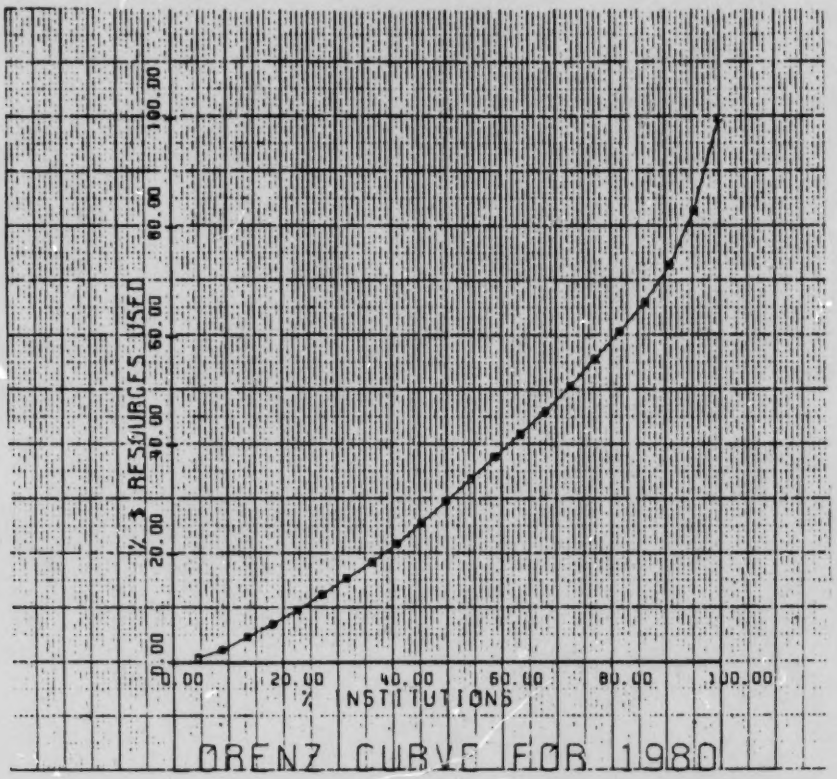
LORENZ CURVE FOR 1978

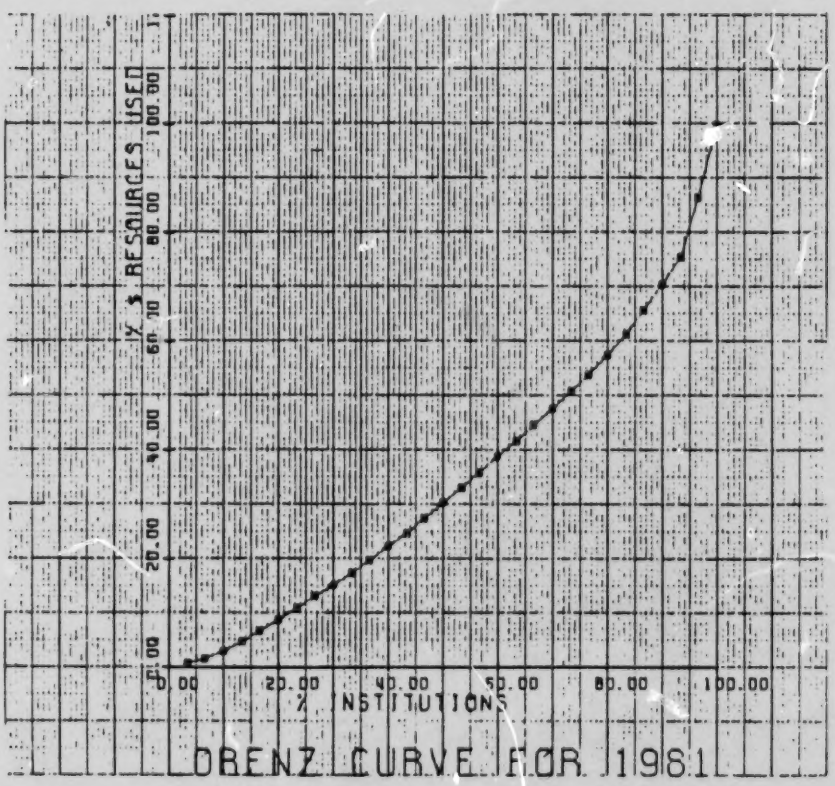


LORENZ CURVE FOR 1979

NOTE: Data for these graphs were derived from institutional awards made under the HEA II-C program

TABLE 10 Percent of Dollars Awarded compared to Percent of Number of Awards





NOTE: Data for these graphs were derived from institutional awards made under the HEA II-C program

and then multiplying by 100 to generate a percentage. The value on the vertical (Y-) axis is the cumulative-dollar percentage, calculated by dividing each of the cumulative totals by the grand-total dollar amount and then multiplying by 100 to scale it as a percentage. The degree of "bowing" of the curve represents the degree of equality or inequality in the awards made. Hypothetically, if all the awards were equal, the curve would be a straight line. A number of interesting comparisons can be made within and among these curves. For example, as one possible pair of comparisons, we can see with the curve for 1978 data that the top ranked 20% of the institutions receiving awards (note that some of these upper points represent joint projects among several institutions) received about 40% of the resources granted; on the other hand, the bottom 40% of the institutions received only about 20% of the aggregate dollars awarded.

The Lorenz Curves for 1978, 1979, 1980 and 1981 appear on the preceding two pages.

The Scatterplot

The scatterplot was chosen as the graphic technique to explore the concern that the largest dollar awards had been made to the "largest" research libraries. In order to use the scatterplot it was necessary to provide a numerical index for each of the research libraries so they could be

arranged in rank order from "smallest" to "largest." By happy coincidence, the Association of Research Libraries had published a work by Kendon Stubbs, The ARL Library Index and Quantitative Relationships in the ARL,[83] which developed an index figure for ARL member libraries based on data from a time period which overlaps the four year period of this study. The ARL Library Index is a rank order table of the ninety-one degree granting ARL institutions, indicating the relative position among ARL libraries with respect to an overall factor of library size, derived by factor analysis from ten of the statistical categories collected annually from ARL member libraries. Access to a single index, which is a composite of the significant statistical factors of the size of a research library, avoids the problem of making an arbitrary decision about the most appropriate single measure of a library's significance, whether it be volumes held, volumes added, dollars spent, serial titles owned or staff size. It also provides a statistical measure known to the profession so that the table may communicate the information more readily than an index of my own devising. The 1979-80 ARL Library Index shows a range of scores along a normal curve from +3.0 (Harvard) to -1.93 (Oklahoma State); the complete ARL Library Index for 1979-80 appears in Appendix E.

A scatterplot was constructed for each of the three program activities authorized for HEA II-C funding:

TABLE 11A ARL INDEX COMPARED TO TOTAL AWARDS, BY INSTITUTION

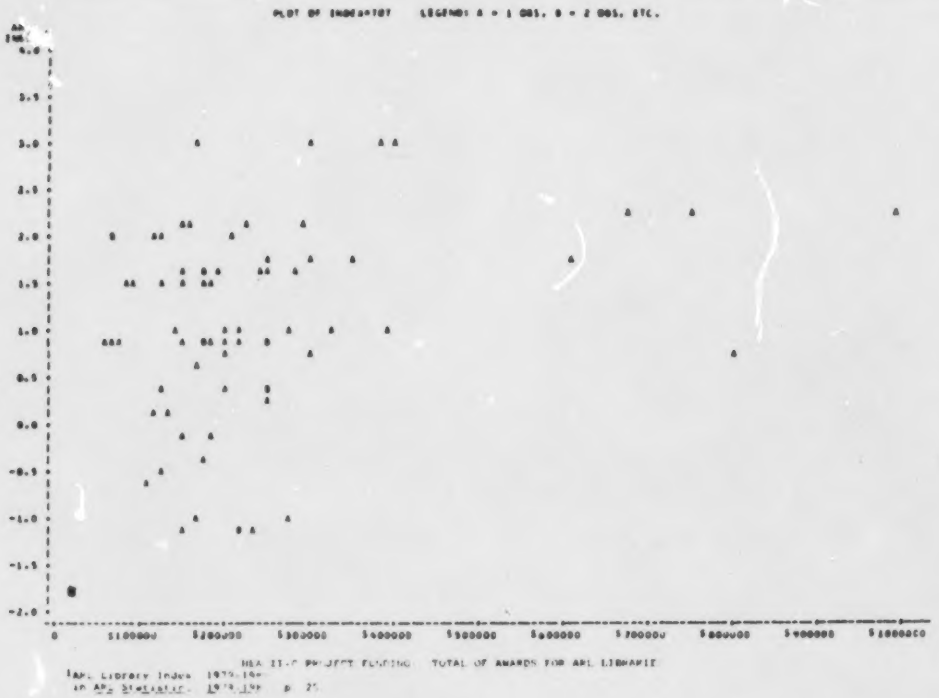


TABLE 11A ARL INDEX COMPARED TO AWARDS FOR ACQUISITIONS

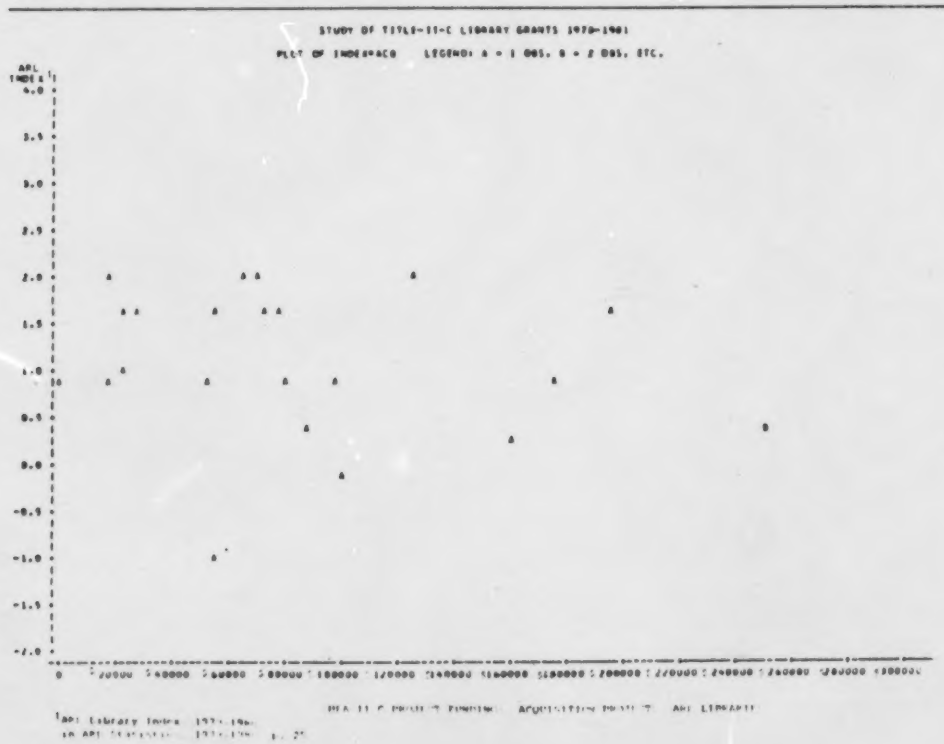


TABLE 11A ARL INDEX COMPARED TO BIBLIOGRAPHIC CONTROL AWARDS

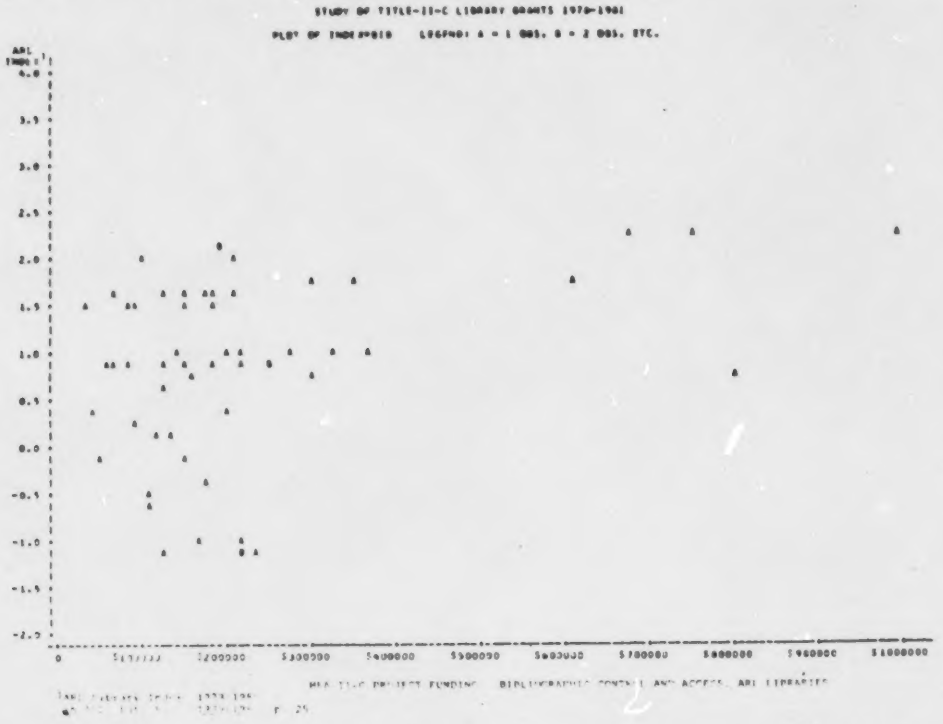


TABLE 11A ARL INDEX COMPARED TO AWARDS FOR PRESERVATION

acquisitions, bibliographic control and preservation, plus one graph which includes all awards in each of the three categories. The horizontal (X-) axis of the graph represents the range of the awards in dollars; the vertical (Y-) axis of the graph represents the ARL Library Index, from +4.0 to -2.0. These four graphs appear on the preceding two pages of this report.

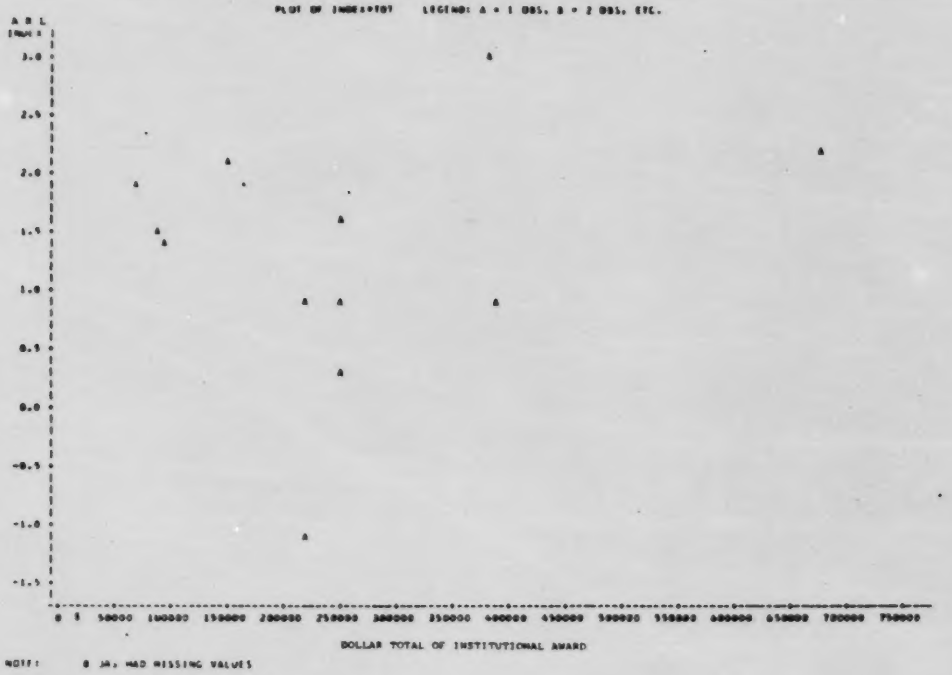
The first of the four scatterplots displays a plot of the ARL Index in relation to the total number of institutional awards made during the first four years of HEA II-C funding. Hypothetically, if the small awards had been made to institutions at the low end of the ARL Index and if large awards had been made to institutions at the high end of the Index, the points on the scatterplot would lie in a line from lower left to upper tight on the graph. Instead, the points are clustered in the mid-range, with several points significantly outside the cluster area; these latter points represent awards for joint projects conducted at several institutions, such as the Southeast ARL serials conversion project where work is being undertaken at eight institutions and the Michigan serials conversion project which involves three institutions over a three year period.

The fourth scatterplot shows the distribution of awards for preservation projects and is the closest indication of the largest grants going to a highly ranked

institution, Harvard in this case. This pattern of distribution makes sense because the larger older collections have more items in those categories of research material which are most susceptible to deterioration.

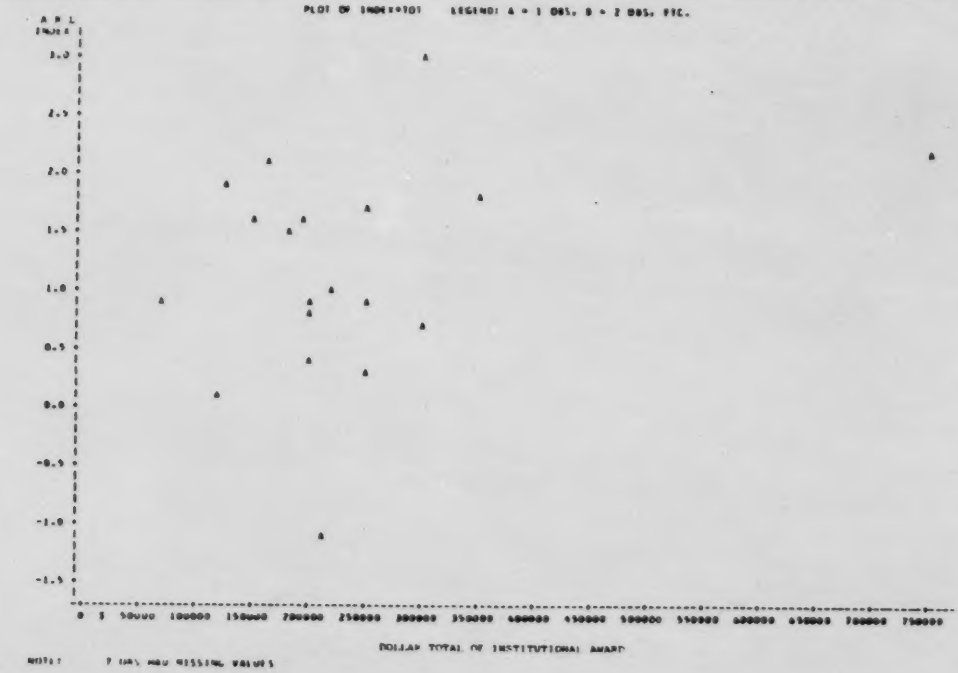
A slightly different picture is seen when the scatterplot technique is used to compare the ARL Library Index with the total dollar awards to each institution, on a year by year basis. For instance, awards for FY 80 show a graphic tendency of higher dollars for more highly ranked libraries.

TABLE 11B ARL INDEX COMPARED TO AWARD TOTAL: FY 1978



NOTE: 8 OBS. HAD MISSING VALUES

TABLE 11B ARL INDEX COMPARED TO AWARD TOTAL: FY 1979



NOTE: 7 OBS. HAD MISSING VALUES

TABLE 11B ARL INDEX COMPARED TO AWARD TOTAL: FY 1980

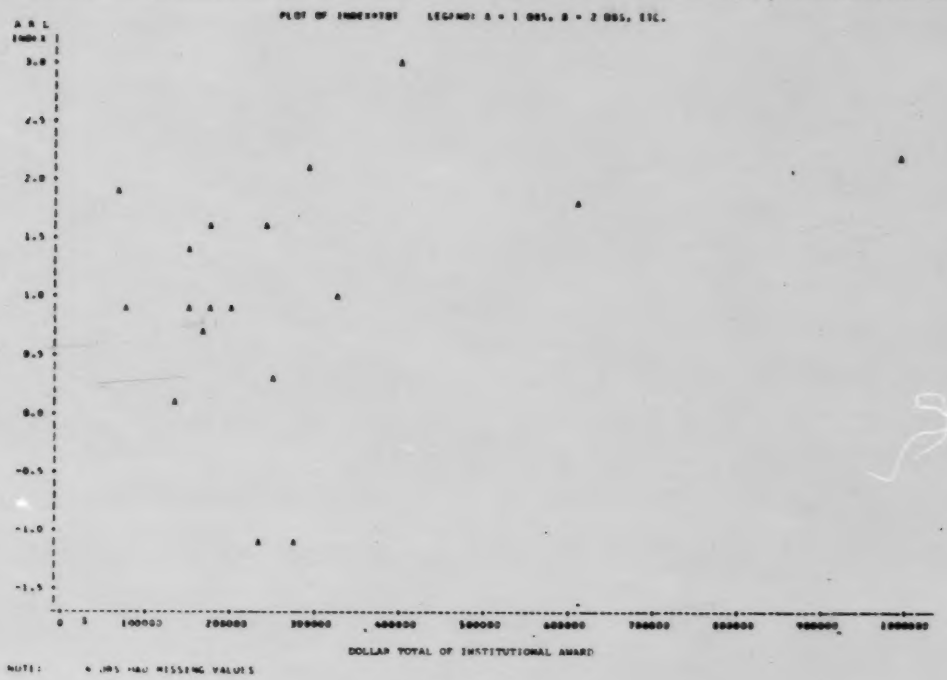
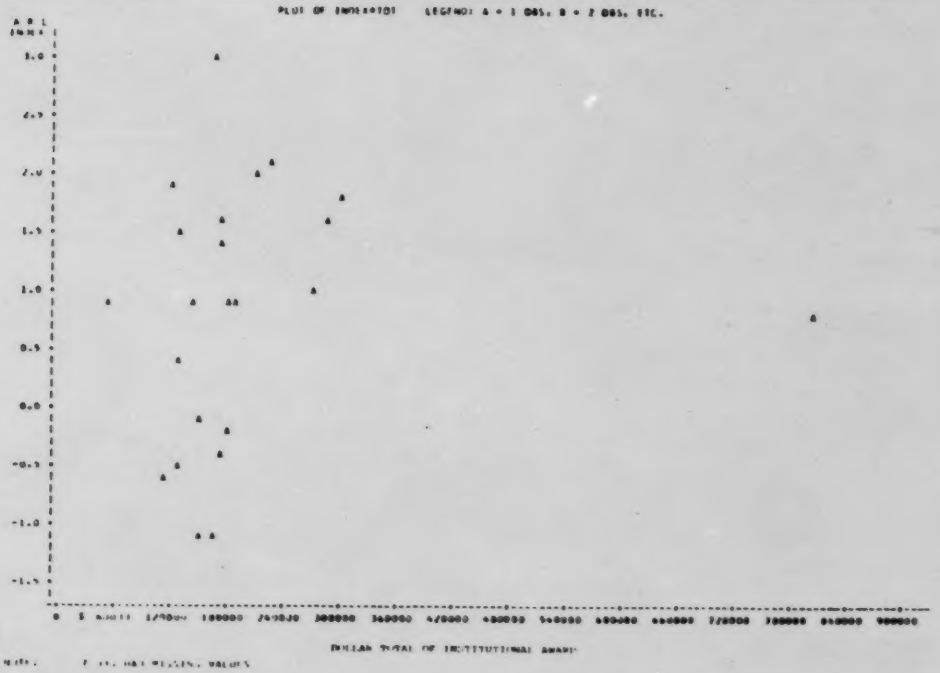


TABLE 11B ARL INDEX COMPARED TO AWARD TOTAL: FY 1981



B. Scoring and the Review Process

Proposals for funding under the HEA II-C program are considered on the basis of applications submitted to the Secretary of Education by a published deadline, in accordance with a set of guidelines published along with the Regulations. All of the applications are reviewed in Washington, D.C. by three-member teams of people considered knowledgeable about the issues facing major research libraries in the nation. The review process, conducted over a three to four day period, culminates in a average team score for each application based on a structured point system. The point system is published as part of the Regulations and appears in the application package for grants under this Title. The different weights given to the various aspects of a proposal are thus known to the applicant when preparing a proposal for funding consideration. A total of 110 points were available to each proposal reviewed for FY 78, 79, 80, and 81 funding, with recommendations for change to a 200 point system for FY 83 awards. Samples of the scoring instruments used for the FY 78, 79, 80 and 81 review cycles are displayed in Appendix B.

Following the field review, the proposals are scrutinized by OLLT staff to sharpen the proposed work and its budget; the raw scores are adjusted by the addition of

bonus points where required to achieve geographical balance. A list of recommended proposals, with their adjusted scores and budgets, is submitted to the Secretary of Education (or his Deputy) for funding decisions. The review process is usually completed by mid-June, with funding to begin in October, with the start of the next Federal fiscal period.

The point system provides structure to the evaluation process which is fundamentally a qualitative assessment of an institution's measure as a "major research library" and its potential to accomplish the stated objectives of the proposal. The review process requires reading the entire file submitted by the applicant, an average of 53 pages per application plus attachments. The best prepared proposals, and those receiving the highest scores, are those which follow the criteria and its numbering system, enabling the review panel to read sequentially through the proposal, noting each scorable item in turn. The available points are divided between the two umbrella criteria for assistance: (a) significance of the applicant as a major research library and (b) the nature of the project. In FY 78 and 79, a majority of the points - 60 - were available to evaluate the "significance" of the institution, while only 50 points were available to evaluate the "nature" of the work to be done. At least one commenter noted that the proposed regulation assigned more points to the significance of the applicant as a major research library than to

the quality of the proposed project itself. This commenter expressed the view that "the quality of the project was at least as important as the significance of the library and suggested an equal distribution of points between these categories."[84]

Initially, the Office of Education took the position that "the identification of the strongest research libraries for funding is critical to best accomplishing the statutory purposes" of the Title, especially because "the Commissioner has opted not to write in rigid eligibility standards" to define major research library, implying that the evaluation process should look for institutional significance first and project potential second. However, in response to criticism and recommendation from the field, the point system underwent minor revision with the FY 81 review cycle, most notably, the points available to evaluate the nature of the project were increased from 50 points to 62 points, of the total 110 point potential high score. The chart which follows compares the points available for each evaluation category as they changed from FY 78 to FY 81 and as are proposed for FY 83. It is interesting to note the increased emphasis on the institution's stated plan of operation, the reasonableness of the budget and the cost effectiveness of the project, and the qualifications of key personnel.

TABLE 12 STRUCTURE OF SCORING SYSTEM: A COMPARISON OF REVIEW CYCLES

CRITERIA FOR ASSISTANCE (136.06/778.7	Points Available for each fiscal period FY 78	FY 79	FY 80	FY 81	FY 82	FY 83 proposed
A. Significance as a Major Research Library						
1. library collection makes significant contribution	20	20	20	16	16	20
2. library collection is broadly based	15	15	15	12	12	20
3. national/international significance of collection	10	10	10	8	8	20
4. unique material in library collection	10	10	10	8	8	20
5. demand on library collection by scholars	5	5	5	4	4	20
Sub total "significance	60	60	60	48	48	100 (65 req'd)
B. Nature of the Project						
1. objectives and activities of project	25	25	25	20	20	20
2. institutional commitment to objectives of project	5	5	5	4	4	5
3. plan of operation	5	5	5	11	11	15
4. reasonableness of costs (budget & cost effective)	5	5	5	6	6	10
5. qualifications of staff	5	5	5	8	8	10
6. new and innovative project significance of project	5 -	5 -	5 -	4 -	4 -	- 30
7. evaluation plan	-	-	-	6	6	5
8. adequacy of resources	-	-	-	3	3	5
Sub total "nature of project"	50	50	50	62	62	100
TOTAL OVERALL APPLICATION	110	110	110	110	110	200

In each of the review cycles, the average team scores ranged from a low of zero for those applications which clearly did not meet the criteria, to a high of 110 points. The cut-off point below which funds were exhausted usually fell in the high eighties, a reflection of stiff competition and quality proposals. It has been argued, and I tend to agree, that most of the proposals have merit for future funding from some source; the proposals certainly speak to the vast amount of work that needs to be done to strengthen the nation's research libraries. In the aggregate, the proposals map the objectives and needs of major research libraries for the next decade, providing a valuable documented source in answer to the questions: what are the problems facing research libraries in the 80's; what are the priorities for action; what are the unmet needs? As recommended elsewhere in this report, the entire lot of applications should be mined for all relevant statistics on these questions.

The point system and its use in the HEA II-C review process has drawn more criticism from the field than any other aspect of the program. In my discussions with a variety of library professionals regarding the management and future direction of the HEA II-C program, the point system was the feature most chose to single out for comment and recommendation. There are several interrelated issues to be examined: The review panels were composed of library

professionals with a variety of library years and experience. While the differences brought to the panel review process provided useful background information and insight to project potential, these same differences contributed to varying interpretations of such qualitative measures as "low," "high," "large," "infrequent," and so forth. The result of such non-standardized interpretation of numerical data, such as number of interlibrary loans, was apparent inconsistency in the scoring process from team to team, and from year to year. For instance, one of the large major research libraries received a score of 49 points for "significance as a major research library" one year and 23 points for the same category in the next year. As the Director notes, the library did not change--but the review team did! This concern has led to the recommendation that institutions be evaluated separately as major research libraries, perhaps by Department of Education staff prior to the review process instead of by the review panels. The proposed scoring mechanism for FY 83 awards reflects the thrust of the recommendation while not removing the review team from scoring "significance as a major research library;" namely, that an institution must score a minimum of 65 points on significance (where 100 points are available for the category) in order to be eligible for funding consideration.

It is my opinion from two years experience serving

on HEA II-C review panels that the individual members of the panels are very diligent in their effort to be even handed and consistent in scoring applications; however, some individuals are just tougher graders than others and some are more knowledgeable about the potential contribution of a proposed plan of work than others. It is my observation that the composition of the review teams reflect geographical balance, old and new perspective, and experience in a wide variety of types of libraries; however, the evaluation criteria do present a certain level of ambiguity which can lead to a range of scores for a single application. Anaylsis of the team scores for the FY 81 review cycle indicates that the scores for any single application tend to be fairly similar to each other (experience suggests that extreme variation in scores is usually a matter of missing something in the proposal rather than a serious disagreement about the score for a specific category); however, the review process involves discussion and negotiation among team members so that differences are generally "talked out." I feel that it is important that members of the research library community continue to effectively recommend which proposals are worthy of funding, distinguishing them from those which need to be sent packing.

Finally, the essential question which does not get asked is which projects should be funded--those which seek

funding or those where the work might be most effectively and "significantly" accomplished? It is the opinion of many people in the library and information science field that it is not the prerogative of federal funding to select the site for funding, but rather to choose the best from among those offered. I recommend that the precedent continue.

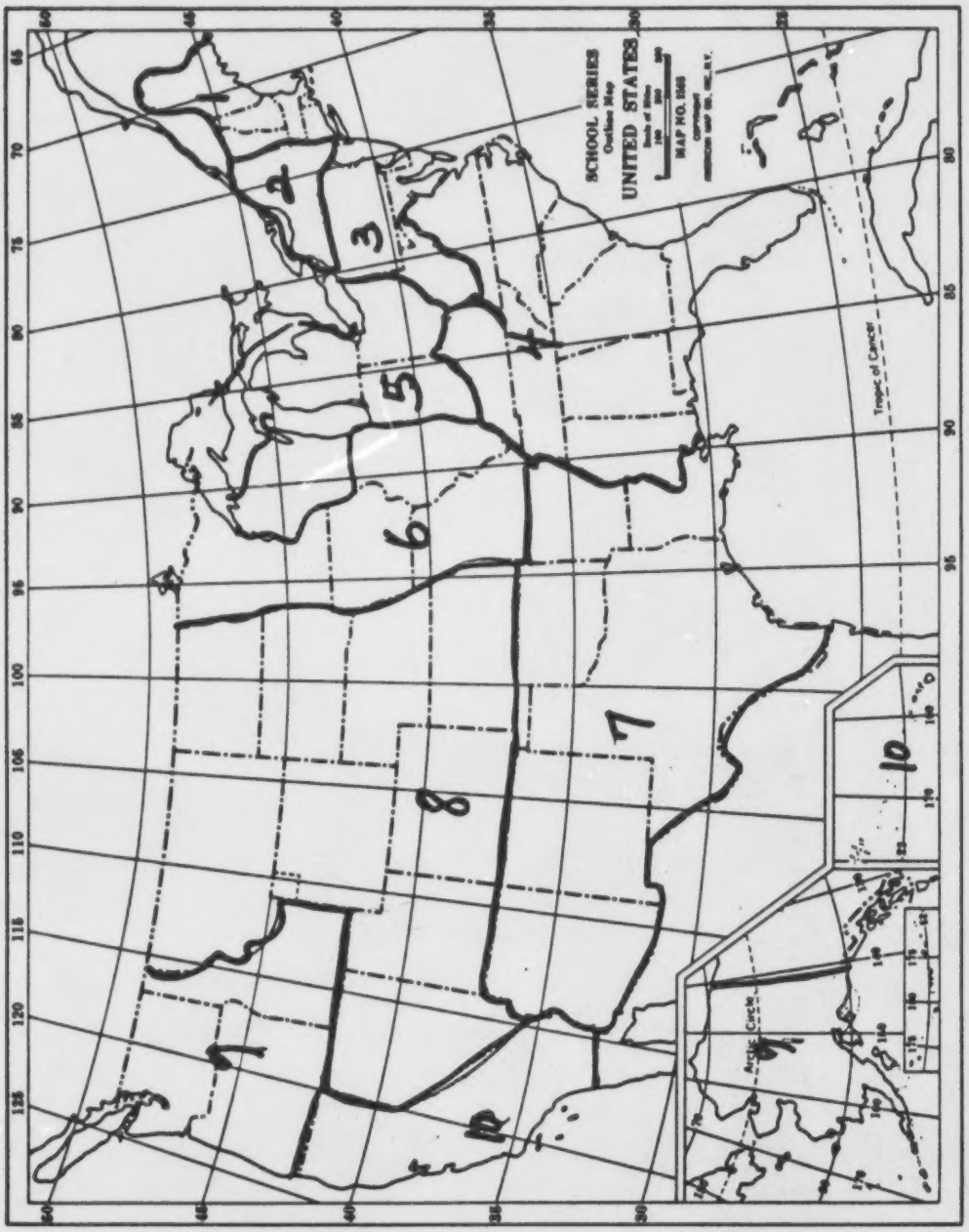
C. Geographical Representation

The rule on regional balance permits assignment of a maximum of 15 additional points to each of the three highest scoring applications in a region in order to produce a degree of regional equitability prior to the final recommendations for funding are made. While it may be the intent of the Secretary of Education through the Regulations to achieve a regional balance in the management of HEA II-C funds, the distribution of major research libraries are not balanced on a regional basis. Nonetheless, the nation was carved into ten geographical regions, taking into account such factors as the number of major research libraries and their locations, population, networking and geography. The map on the following page shows the grouping of states within each of the ten regions, as it was revised following comment from the field in 1976/77.

Reacting to the initial proposed regulations, several commenters recommended that the proposed Midwest area be divided into two separate regions because of existing patterns of networking and cooperation. These commenters also recommended that Hawaii, Guam, and American Samoa be combined with California (Region 10) by virtue of their smallness, and that Puerto Rico and the Virgin Islands be transferred from the Southeast region to the New York region (Region 2) by virtue of the close working relationships which already exist. Section 136.07 was revised

TABLE 13

MAP HEA II-C Geographic Regions (@136.07/@778.8)



in accordance with the thrust of these recommendations. The Midwest area set forth in the proposed rule is now divided into two regional areas: a Great Lakes region (Region 5) and a Midwest region (Region 6); the Islands were attached to California and New York as recommended. One commenter, pointing out the imbalance in numbers of research libraries between regions 1 and 10, felt that the proposed geographical regions discriminated against areas with heavy concentrations of research libraries; however, Region 1 was not altered, in consideration of established working relationships.

"The question that arises from the implementation of the program is should HEA II-C funds be distributed equally to each state, or equally to all qualified major research libraries, or selectively to those institutions which both qualify as a "major research library" (regardless of geographical location) and have a well designed project which clearly will benefit the nation's research community? It is clear from the Senate Committee Report on the establishment of Title II-C of the Higher Education Act of 1965, that Congressional intent with regard to the purpose of HEA II-C and its administration was to support the major research libraries of the nation.[85] The statute itself, in establishing eligibility for assistance, defines "major research library" as having library collections which, among other things, are recognized as having national

or international significance for scholarly research and which are of a unique nature. Unlike some of the other federal education assistance statutes, it was not the intent of HEA II-C to provide funding for each state; rather, given the level of funding available in a single year, program administrators hoped to fund approximately 20 to 25 highly meritorious projects each year.

In response to the call for comments[86] on the proposed regulations, three commenters recommended that at least one grant be awarded to each state in recognition of the fact that each state possesses at least one "major" research library, regardless of size, that contains special collections which are unique to that state and which provide substantial resource sharing services within that state. No change was made to the proposed regulations in response to this particular recommendation, primarily because the Commissioner of Education believed that providing one grant to each state might have the effect of diluting the impact of limited funds under the program. A simple mathematical calculation demonstrates that to guarantee each of the 50 states a share of the $6,000,000 authorized for HEA II-C projects in a single year would bring an equal share of $120,000 to each state, a sum which could not effectively mount the current array of funded projects, especially those designed for cooperative bibliographic control or preservation, projects which will

significantly benefit the research community of the nation. It is my opinion, based on observation of other federal education programs such as HEA II-A, College Library Resources, that equal distribution of dollars seriously dilutes the potential of the intent of the program by failing to set priorities among work to be done.

During the first four years of funding under HEA II-C, awards have been made to libraries in 31 states and the District of Columbia, reflecting the locations of large ARL Member Libraries and other major research library collections. However, there is nothing in the regulations that precludes a smaller research library from receiving a grant, provided that the elements of the statutory definition are met. In fact, several of the FY 81 awards were made to "smaller" research libraries, in recognition of unique collections, well designed projects, and the interests of geographic balance; unfortunately, some of these awards have drawn fire from the field in an expression of concern about proper application of the criteria for "major research library" and concern about the ultimate "national significance" of these projects.

The rule on regional balance provides an equitable device for attempting to allocate program funds reasonably. How well has it worked? Let us look at the record through the experience of FY 78, the first year of funding under the program. 101 proposals were received for consideration

for FY 78 funding, seeking over $27 million where only $5 million was available. The applications were reviewed by 9 teams of three members each and scored according to the evaluation criteria and its point system, resulting in an average team score for each application. Team scores for the 101 applications ranged from zero points to 110 points, of a possible score of 110 points.

Given the limited funding available, the Office of Libraries and Learning Technologies had expected to be able to make approximately 20 awards of $250,000 each to the highest rated applications. When the raw scores were arranged in rank order, with the highest rated applications at the top of the list, it became apparent that eight of the geographical regions had less than three fundable projects, an unacceptable condition according to the terms of Section 136.07 (c) of the Regulations. After the addition of 15 bonus points to the highest three scores in each of these eight regions, a revised rank order list was drawn, only to cause inequity in one other region by reducing its fundable projects to less than three. The bonus points were applied to the three highest ranked applications in that region and the final list of fundable projects was established.

The projects recommended for funding in FY 78 were selected from this revised list of the highest rated applications; a project was funded in each of the ten

geographical regions. If awards had been made solely on the basis of quality of the proposal and high scoring, regional balance would not have been achieved; on the other hand, to achieve regional balance, several quality projects with high scores were not funded. The Table of Rank Order Scores for Fiscal 78 which follows demonstrates the process and its potential. In FY 78, awards were made to 20 institutions; they are represented in the table as underlined, e.g., Chicago Art Institute.

The (*) in the Team Score column indicates those projects which scored above the 93 point cut off which would have been funded solely on the basis of quality and high scores, without regard to regional balance.

The rule of regional balance, as demonstrated in the preceeding paragraphs, has been applied in each of the first four years of HEA II-C, funding a project for each geographical region each year. There are those who have argued that regional balance has been achieved at the expense of quality of programs. While that is a quick and easy way to polarize opinion on the program, it is too simplistic because it ignores certain aspects of the evaluation and scoring process. The total score received by a proposal is composed of several discrete parts, among which are a rating of the institution and an assessment of the significance of the project itself. While the scoring process is examined in detail in Section B of this chapter,

TABLE 14

TABLE OF HIGHEST RANK ORDER SCORES FOR FISCAL 78

Region	Applicant	Team score	15 pt. bonus	15 pt. bonus
6	Chicago Art Institute	110*	110	110
10	Univ. California, Berkeley	108*	123	123
6	Univ. of Chicago	105*	105	105
2	Amer. Museum Natural History	105*	105	120
6	Missouri Botanical Garden	104*	104	104
4	Duke University	103*	118	118
6	Univ. of Wisconsin, Madison	103*	103	103
6	Univ. of Illinois	101*	101	101
2	New York State Dept. of Ed.	100*	100	115
1	Yale	99*	114	114
6	John Crerar	98*	98	98
6	Northwestern University	98*	98	98
2	New York Public Library	98*	98	113
5	Indiana University	97*	112	112
1	Harvard University	97*	112	112
6	Newberry Library	96*	96	96
2	Columbia University	95*	95	95
2	Cornell University	95*	95	95
3	Princeton University	93*	108	108
6	Univ. of Minnesota	92	92	92
7	Univ. of Texas, Austin	91	106	106
3	Folger Shakespeare	89	104	104
1	Boston Public Library	89	104	104

Region	Applicant	Team Score	15 pt. bonus	15pt. bonus
8	Colorado State Univ.	87	102	102
10	Huntington Library	86	101	101
9	Univ. of Washington	85	100	100

it is worth noting here that the large, old, established, net-lender libraries cannot avoid the highest scores as an evaluation of the institution, a high score which might "carry" a borderline proposal; on the other hand, a newly emerging research library may not generate sufficient points for evaluation of the institution to put an outstanding proposal into the top twenty of the highest ranked proposals. To sustain such an assertion, it would be necessary to analyze the scoring sheets for those proposals which were not funded, comparing the results with scores of proposals which were funded. Unfortunately, the scoring sheets for proposals which were not funded were not available for this review, making it impossible to conduct the required data analysis. Moreover, the raw scores of the funded applications are clustered within 20 points of each other, making analysis of variation of score components practically meaningless. For the record, the Tables of Rank Order Scores of the Highest Rated Applications for Fiscal 79, 80, and 81 are included in Appendix C.

As a summary of this review of geographical balance among the funded HEA II-C projects, a chart has been

prepared for each of the ten geographical regions, showing which states are included, the number of HEA II-C projects funded in each region, and the ARL members in each state in the region. Those institutions participating as joint partners in HEA II-C projects are also designated, showing the extent of cooperative efforts on a regional basis. These charts do not show the level of funding nor the nature of the project, information which is detailed elsewhere in this report, such as Table 3 and Table 5.

SUMMARY OF AWARDS BY GEOGRAPHICAL REGIONS: 1978-1981

Fiscal	Regions 1	2	3	4	5	6	7	8	9	10	Total
1978	3	3	2	1	1	5	1	1	1	2	= 20
1979	3	5	2	2	2	5	1	2	1	3	= 26
1980	3	3	2	2	1	4	2	2	1	2	= 22
1981	5	3	1	3	4	7	2	1	1	3	= 30
Totals	14	14	7	8	8	21	6	6	4	10	= 98

TABLE 15 HEA II-C GEOGRAPHICAL REGIONS

REGION 1 (New England States)

States	Institutional Awards	78	79	80	81	ARL Members in this region
Connecticut	Yale	X	X	X	X	Yale
						U of Connecticut
Maine						
Massachusetts	Harvard	X	X	X	X	Harvard
						M I T
						Boston University
						U of Massachusetts
	Boston P L	X	X		X	
New Hampshire	Dartmouth				X	Dartmouth
Rhode Island	Brown			X	X	Brown
Vermont						

REGION 2 (New York and Territories)

States	Institutional Awards	78	79	80	81	ARL Members in this region
New York	Columbia		X		(X)	Columbia
	Cornell	(X)'	X	X	X	Cornell
	New York Public	X	X		X	New York Public
	NY State Dept Educ	X	X	X		New York State Library
	New York University	(X)'	(X)'	(X)'	(X)	New York University
	Amer Museum Natural History	X	X	X	X	
	N Y Botanical Garden	(X)	(X)	(X)		
	SUNY Albany	(X)'	(X)'	(X)'		SUNY Albany
	SUNY Buffalo	(X)'	(X)'	(X)'		SUNY Buffalo
	SUNY Stony Brook	(X)'	(X)'	(X)'		SUNY Stony Brook
						Syracuse
						U of Rochester
	SUNY Binghamton	(X)'	(X)'	(X)'		
Puerto Rico						
Virgin Islands						

(X) = a joint project with another institution, where the other will administer the grant.
NOTE: The Department of Education did not count as joint those projects which did not receive HEA II-C funds: this report counts projects as joint if the participant contributed data, titles, etc., to the project, whether or not HEA II-C funds were received: this difference of opinion is noted by (X)'.

TABLE 15 HEA II-C GEOGRAPHICAL REGIONS

REGION 3 (Middle Atlantic States)

States	Institutional Awards	78	79	80	81	ARL Members in this region
Delaware						
District of Columbia	Folger Shakespeare	X				
						Howard
						Georgetown
						Library of Congress
						Smithsonian
Maryland						Johns Hopkins
						National Agricultural Library
						National Library of Medicine
						U of Maryland
New Jersey	Princeton	X	X	X		Princeton
	Rutgers		X			Rutgers
Pennsylvania	U of Pennsylvania			X		U of Pennsylvania
	Academy of Nat Sci				X	
						Pennsylvania State University
						Temple
						U of Pittsburgh
West Virginia						

REGION 4 (Southeastern States)

States	Institutional Awards	78	79	80	81	ARL Members in this region
Alabama	U of Alabama		(X)			U of Alabama
Florida	U of Florida				X	U of Florida
	Florida State				(X)	Florida State
	U of Miami				(X)	U of Miami
Georgia	Emory				(X)	Emory
	U of Georgia				(X)	U of Georgia
Kentucky	U of Kentucky				(X)	U of Kentucky
Mississippi						
North Carolina	Duke	X		X		Duke
	UNC, Chapel Hill	(X)	X	X	X	U of North Carolina
	N C State	(X)	(X)'	(X)		
South Carolina	U of S Carolina		(X)		X	U of South Carolina
Tennessee	U of Tennessee				(X)	U of Tennessee
	Vanderbilt		(X)			Vanderbilt
Virginia	U of Virginia		X			U of Virginia
	Va Polytechnic				(X)	Virginia Polytechnic Institute

(X) = a joint project with another institution, where the other will administer the grant
NOTE: (X)' = a joint participant in an HEA II-C project, where the participant did not receive HEA II-C funds. See note on Region 2.

TABLE 15 HEA II-C GEOGRAPHICAL REGIONS

REGION 5 (Great Lakes States)

States	Institutional Awards	78	79	80	81	ARL Members in this region
Indiana	U of Indiana	X	X		X	U of Indiana
						Purdue
						Notre Dame
Michigan	U of Michigan		X	X	X	U of Michigan
	Michigan State		(X)	(X)	(X)	Michigan State
	Wayne State		(X)	(X)	(X)	Wayne State
Ohio	Ohio State				X	Ohio State
	Cleveland P L				X	
						Case Western Reserve
						Kent State
						U of Cincinnati

(X) = a joint project with another institution, where the other will administer the grant.

REGION 6 (Midwest States)

States	Institutional Awards	78	79	80	81	ARL Members in this region
Illinois	Art Institute of Chicago	X				
	Center for Research Libraries	(X)'			X	Center for Research Libraries
	U of Illinois	X	X	X	X	U of Illinois
	So Illinois U				X	Southern Illinois University
	U of Chicago	X	X	2X	X	U of Chicago
	Newberry Library				X	Newberry Library
	John Crerar Library	(X)'				John Crerar Library
						Linda Hall Library
	Northwestern		X			Northwestern
Iowa						U of Iowa
	Iowa State				X	Iowa State University
Minnesota						U of Minnesota
Missouri	Mo Botanical Garden	X	X	X		
						U of Missouri
						Washington University, St. Louis
Wisconsin	U of Wis, Madison	X	X		X	U of Wisconsin

(X) = a joint project with another institution, where the other administers the grant.
NOTE: (X)': see note under Region 2

TABLE 15 HEA II-C GEOGRAPHICAL REGIONS

REGION 7 (Southwestern States)

States	Institutional Awards	78	79	80	81	ARL Members in this region
Arizona	U of Arizona			X	X	U of Arizona
						Arizona State
Arkansas						
Louisiana						Louisiana State
						Tulane
New Mexico						U of New Mexico
Oklahoma						U of Oklahoma
						Oklahoma State
Texas	U of Texas, Austin	X	X	X	X	U of Texas
						Texas A & M
						Rice
						U of Houston

REGION 8 (Mountain Plains States)

States	Institutional Awards	78	79	80	81	ARL Members in this Region
Colorado	Colorado State	X	X	X		Colorado State
						U of Colorado
Kansas	U of Kansas		X	X		U of Kansas
Montana						
Nebraska						U of Nebraska
Nevada						
North Dakota						
South Dakota						
Utah	U of Utah				X	U of Utah
						Brigham Young University
Wyoming						

TABLE 15 HEA II-C GEOGRAPHICAL REGIONS

REGION 9 (Pacific Northwest States)

States	Institutional Awards	78	79	80	81	ARL Members in this region
Alaska	U of Alaska		X			
Idaho						
Oregon						U of Oregon
Washington	U of Washington	X		X	X	U of Washington
						Washington State University

REGION 10 (California and Far West)

States	Institutional Awards	78	79	80	81	ARL Members in this region
California	Huntington Library	X	X	X		
	UC, Berkeley	X	X	X		U of California, Berkeley
	UC, Los Angeles	(X)	(X)	(X)		U of California, Los Angeles
						U of California, Davis
						U of California, San Diego
						U of California, Santa Barbara
						U of California, Riverside
	Stanford	(X)	(X)	(X)	X	Stanford
	U of So Calif		X		X	U of Southern California
Hawaii	U of Hawaii				X	U of Hawaii
American Samoa						
Guam						

(X) = a joint project with another institution, where the other will administer the grant.

D. Budgets and Reporting Requirements

The guidelines for funding under HEA II-C suggested that project activity might encompass work in three areas: acquisitions, bibliographic control and access, and preservation and conservation. A "project" is understood to be a plan of work and its budget, as it appeared in the institutional proposal for HEA II-C funding as opposed to an award, a composite of projects. Given the wide variety of work proposed and the range of research libraries seeking funding, it is not surprising that a number of projects overlapped the three designated functional activity areas, resulting in these six groupings:

Single Year & Renewals	Type of Activity
28	1. Acquisitions
7	2. Acquisitions, Bibliographic Control
5	3. Acquisitions, Bibliographic Control, Preservation
94	4. Bibliographic Control
11	5. Bibliographic Control, Preservation
39	6. Preservation

Ninety-seven separate and distinct projects were funded, some extending over two or three fiscal periods; the list above reflects the fact that a project was counted once for each fiscal period it was funded, resulting in a

four year count of 184 year-long project budgets.

In presenting a line item budget summary for the six functional activity groups, it must be noted that there are several discrepancies amounting to approximately $20,000 between the annual published reports of the awards and Table 16 of this report, which was derived from the separate project budgets as they were submitted. The discrepancies are due primarily to inconsistencies or lack of detail in some of the budget tables which accompanied institutional proposals. In the process of recommending proposals for funding it was typical for either the Review Panel or the Office of Libraries and Learning Technologies (OLLT) to suggest a reduction from the original budget proposal. Although OLLT's annual Funding Memorandum kept track of changes negotiated during the authorization process, institutions so affected were not consistent in providing revised detail budget sheets.

The allowed budget object class categories for HEA II-C projects are these:

(a) Personnel (salary and wages)
(b) Fringe benefits
(c) Travel
(d) Equipment
(e) Supplies
(f) Contractural (work to be done by parties other than the award recipient, such as printing or publication, purchase of computing services, distribution of funds to joint participants)
(g) Construction (not allowed for HEA II-C projects)
(h) Other (activity not defined above, such as purchase of library materials, distribution of funds to joint participants, preservation work,

etc., used interchangeable with "contractural")
(i) Total Direct Charges, a-h above
(j) Indirect Charges (a percentage of direct costs, computed on Total Direct, Modified Direct, or Personnel, designed to cover institutional overhead costs associated with the projects)
(k) Totals, a-h plus j

Table 16, which follows on the next page, provides a summary comparison of the budget line-items for each of the six functional groupings of project activity.

The work of the projects was labor intensive as Table 16 indicates; 62% of the direct costs were budgeted for salaries and fringe benefits, a percentage figure which is generally consistent with experience in academic research libraries.[87] Although it was not possible from information available to this review to determine the number of individuals employed, nor the number of "man" hours spent on project work during the first four years of HEA II-C, the percentage of direct costs budgeted for personnel and fringe benefits varied by type of project activity. In acquisitions projects, personnel budgets were an average of 22% of direct costs while the cost of personnel were budgeted, on the average, at 38% of direct costs for preservation projects and 78% of direct costs for bibliographic control projects. The most obvious difference appears to be that funds for acquisition projects generally were dedicated to the purchase of material rather than to the staff costs associated with the acquisition process, itself, with the notable exception of travel

TABLE 16 SUMMARY OF LINE ITEM BUDGET ALLOCATION: HEA II-C FY 78, 79, 80, 81

BUDGET ITEM	ACQUISITIONS $ AWARD	%D	%T	BIB CONTROL ACQUISITIONS $ AWARD	%D	%T	BIB CONTROL ACQUISITIONS/PRES $ AWARD	%D	%T	BIB CONTROL $ AWARD	%D	%T	PRESERVATION BIB CONTROL $ AWARD	%D	%T	PRESERVATION $ AWARD	%D	%T
a. PERSONNEL	468,083	.19	.17	506,998	.48	.39	179,390	.47	.44	7,137,938	.66	.57	824,654	.56	.42	1,011,821	.31	.25
b. FRINGE BENF	88,788	.03	.03	70,136	.07	.05	26,956	.07	.07	1,293,872	.12	.10	190,531	.13	.10	206,272	.07	.05
c. TRAVEL	37,865	.02	.01	13,438	.01	.01	6,700	.02	.02	75,775	.01	.01	5,477	.0+	.0+	40,208	.01	.01
d. EQUIPMENT	6,200	.0+	.0+	47,382	.04	.04	0	.0	.0	574,358	.05	.05	129,377	.09	.07	286,635	.09	.07
e. SUPPLIES	5,514	.0+	.0+	8,830	.01	.01	8,674	.02	.02	244,359	.02	.02	93,895	.07	.05	139,065	.04	.04
f. CONTRACTURAL	896	.0+	.0+	114,952	.11	.09	3,809	.01	.01	500,538	.05	.04	81,898	.06	.04	605,425	.19	.15
g. CONSTRUCTION	//////			//////			//////			//////			//////			//////		
h. OTHER	1,900,415	.76	.68	301,531	.28	.23	156,538	.41	.38	918,439	.09	.07	137,543	.09	.07	930,313	.29	.23
i. TOT DIR	2,501,761	1.0	.89	1,063,267	1.0	.82	382,067	1.0	.94	10,728,198	1.0	.86	1,463,375	1.0	.75	3,223,739	1.0	.80
j. INDIRECT	321,054	.13	.11	230,754	.22	.18	26,430	.07	.06	1,802,124	.17	.14	494,969	.34	.25	809,995	.25	.20
k. TOTAL	$2,828,815	//	1.0	$1,294,021	//	1.0	$408,497	//	1.0	$12,498,395	//	1.0	$1,958,344	//	1.0	$4,033,724	//	1.0

NOTES: %D = percent of Total Direct costs, line i.

%T = percent of Total costs, line k.

Data for this Table were derived from the budgets as submitted in the HEA II-C application process: a summary of institutional budgets appears as an Appendix (D).

expense in pursuit of elusive or rare material. The data entry work associated with bibliographic control projects would appear to be the most labor intensive activity of the work approved for funding.

Of the total $23,000,000 designated for strengthening research library resources, 84% or somewhat over $19,360,000 supported the actual costs of the work of the HEA II-C projects, with an average project cost of $105,230. The range of project budgets was from a low of $7,500 to a high of $365,512 of direct costs.

Indirect costs, on the other hand, are designed to permit institutional recovery of certain overhead costs associated with sponsored research and other externally funded projects. Indirect costs are generally computed either as a percentage of total direct cost, or as a percentage of modified direct costs, or as a percentage of personnel costs. In the first four year experience of HEA II-C funding, the percentage figures used to compute indirect charges varied from institution to institution, ranging from highs of 77% of salaries, 67.6% of modified direct costs, and 64.7% of total direct costs to a low of zero in those instances where indirect charges were waived by the institution. The process of charging indirect costs yielded over $3,600,000 to institutional indirect income, or 16% of the total federal authorization for HEA II-C funding. In one extreme example indirect charges amounted

to 102% of direct costs, a case which should raise eyebrows and cause academic institutions to exert peer pressure on such travesty.[88]

In addition to periodic financial reports, each institutional award recipient is required to submit three quarterly reports and a final report summarizing work in progress, problems, if any, and a prognostication of completing the work in a timely fashion, within budget. For the most part, all institutional award recipients submitted reports as required; it is from this rich mine of primary source material that I have gained special insight to the accomplishments of the HEA II-C program. The periodic reports make it clear that there is a tremendous volume of work to be done to gain control of the nation's research collections. The periodic reports are supplemented by field trips by members of the OLLT staff whose monitoring reports contribute to the official file for each institutional award.

V. MAJOR FINDINGS AND RECOMMENDATIONS

This chapter addresses the trends and general conclusions observed in an historical review of the first four years of a federally funded program which has as its objective to strengthen the resources of major research libraries. For the most part, the library and information profession has vigorously supported the concept that strong research libraries are essential to the nation's continued preeminence in basic research and scholarship. However, after three application and review cycles, critics of the HEA II-C program suggested that funds had not been allocated fairly to smaller research libraries and that insufficient funds had been designated for acquisitions of books and other library materials. Furthermore, it was apparent to some observers that several projects with similar objectives had been funded, leading to the concern that work might eventually be duplicated. Other critics questioned whether certain project objectives would be of interest to anyone beyond the institution receiving assistance under this program. There was concern in some quarters that national standards for cataloging and data entry were not being observed; and there were questions about whether the objectives of the projects were in fact being accomplished as proposed.

The central observation of this historical review is that the application process for the HEA II-C program has generated a non-structured "needs assessment" for major research libraries for the 80's, providing a sense of the scope of collections which need to be controlled, repaired, and their availability disseminated to the scholarly research community. It is unfortunate that many of the nation's unique scholarly resources are in a condition which renders them unusable to most, due to poor conditions, physical inaccessibility, or lack of bibliographical control. While not all the applicant institutions were eligible under the criteria of "major research library", nor were all projects of significant scope and potential value to the scholarly community to warrant funding, the process has identified a vast storehouse of research treasures in this country which need to be assured a long and organized future for scholarship. As of this writing, the future of the HEA II-C program is uncertain, given the state of the economy and Congressional priorities for the budget. As the American Library Association noted in its Washington Office news release of April 1982,

> "Eliminating HEA II-C funds for major research libraries would weaken their ability to provide the necessary materials to support research and scholarly inquiry...The fact that research libraries are linked by an extensive automated network assures that the materials purchased and preserved under this title can be shared nationally."[89]

While the accomplishments under this program to date

will not be lost regardless of future funding, it is important that work in progress and work that builds toward a national data base of American research library holdings not be interrupted or "put on the back burner" in favor of other national programs. After four years of funding, the HEA II-C program has given the nation tens of thousands of unique titles acquired for scholarly investigation, thousands of fragile and irreplaceable volumes preserved for long term use, and hundreds of thousands of bibliographic records linked through online data files, in a format which will enable individual research scholars to locate items not held at the local research library. The central objectives of the program fall within the national rhetoric of strengthening library resources and making them accessible outside the primary clientele of a research library.

The recommendations from the report are summarized here:

A. Uninterrupted financial assistance to this program is essential to continue the nation's ability to assert its leadership in basic research and scholarship.

B. The concept of geographical balance should be continued, based on the quality of proposals received rather than a formula distribution of funds to each region or to each state.

C. The mix of funded activities should continue to reflect the needs of the research library community as identified through the application process, rather than by some arbitrary percentage distribution of funds for the several objectives of the program.

D. Awards under this program should continue to be selective among research libraries, addressing the unique resources of national and international significance. To carve the pie equally for all research libraries would void the intent of the legislation and dilute the effectiveness of the program to truly strengthen library resources.

E. The review and evaluation process should continue, modified so that evaluation of the project is separate from determination of institutional eligibility for assistance as a "major research library." Adoption of a required minimum institutional score as a research library would facilitate the review process, leaving more time to consider the nature of the proposal and its potential.

F. The impact of the HEA II-C program should be measured, perhaps through the establishment of baseline data for project performance or by measuring scholarly output in a subject area supported by this program.

G. A "census" of uncontrolled research collections should be undertaken, perhaps by gathering all the HEA II-C proposals and their abstracts, making them available to scholars, on a subject basis. Such a census might unearth complementary and similar collections which could be shared rather than duplicated in several geographic locations.

H. An assessment needs to be undertaken to determine what level of duplication of project work can be supported through a program such as HEA II-C, which is geared to strengthen the unique and the research collections of the nation. For instance, how many serials collections do we need to enter into the machine files of the major bibliographic utilities? At how many locations do we need to catalog a major microfilm collection?

I. The level of accountability for the quality and quantity of work performed under the program needs to be bolstered; in certain cases, there seems to be disagreement with what work was approved for funding, which was denied, and what work was accomplished during the course of funding.

J. A follow-up study should be made for projects

funded in FY 1982; it is also strongly recommended that a companion study be launched to investigate aspects of public policy formulation on the questions which were raised by this historical perspective of the first four years of HEA II-C experience. For instance, which projects should be funded? Those which seek funding or those where the work might be most effectively and "significantly" accomplished?

As the research library community looks to its future, it must begin to grapple with the issues of the communications industry and its technologies for storing, transmitting, and changing recorded information. While the major research libraries may be behind in the work of preserving and cataloging the current store of information, library and information specialists must seek an aggressive role in the formulation of information in the decades to come. A program such as HEA II-C can help get the library "house" in order, so that planning for the future may proceed unhindered.

Technological advancements of the 80's suggest that there will be a variety of solutions available to the information industry to expedite the production and use of information, a cycle which can be described as an interlocking chain among the author/generator, the publisher/producer, the library/disseminator, the library/retainer, and the user/new generator. It is the recommendation of this study that HEA II-C funding support innovative, demonstration projects which use new techniques to facilitate the information cycle, specifically (1) to expose the research

community to library resources and (2) to disseminate information through alternate communication channels. An example of a project for future funding under the HEA II-C program would be a demonstration project for on-demand electronic delivery of material to the home terminal.

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APPENDIX A: PROJECT ACHIEVEMENT

HEA II-C Projects FY 78 - FY 81

Appendix A of this historical review of projects funded under Title II-C of the Higher Education Act of 1965 - Strengthening Research Library Resources - contains a brief description of each funded project and its accomplishments. Entries are arranged alphabetically by the name of the award institution. The description of each project was extracted from the application as submitted by the award institution; the assessment of project accomplishment was synthesized from official file documents, such as quarterly and final reports submitted by the award institution and periodic monitoring reports prepared by OLLT staff. In addition, most of the project directors responded to a questionnaire sent to them in November 1981 by the author of this report regarding project achievement and problem spots, providing valuable insight to the workings of the program.

It is worth noting that this historical review was completed for submission to the U.S. Department of Education in July 1982, before FY 81 projects were completed, thus leading to inclusive project summaries for these 30 cases. Unfortunately, the compressed timeframe of this project did not permit comprehensive review by project directors of the project assessment as it appears as Appendix A.

A P P E N D I X
A. Project Achievement

Academy of Natural Sciences of Philadelphia

THE PROJECT:

The Academy maintains a collection of both contemporary and historical American and foreign cataloged monographs in the fields of systematic and evolutionary botany and zoology, geology, mineralogy, ecology, ethology, biogeography, marine science and limnology, as well as material related to expeditions and travel narratives, maps and atlases, museology and the history of science. The Academy has designed a program that will ensure the accessibility of this major natural science collection to the national scientific and educational communities. The objectives of the proposed program are:

To implement a retrospective conversion of the Library's monographs and periodical titles into the OCLC data base.

To enable the continued cataloging of current acquisitions into the OCLC system.

The proposed program will enable each of the 2,800 participating OCLC libraries, bibliographic networks and other utilities connected to OCLC to have access to the field of 185,000 records currently included in the Academy collections. Evidence of the significance of this collection to the national research and educational communities has been demonstrated by sample searches using the OCLC terminal in the office of the Pennsylvania Library Network (PALINET). Several pages from the ichthyology subject area of the printed card catalog were searched on OCLC. The sample indicated that as many as 50% of the Library's holdings are not in the OCLC data base and, of the holdings that were found in OCLC, most were held only at one or two other libraries. In addition, of the foreign titles in the sample, only 25% of the Academy's holdings were in OCLC.

ACCOMPLISHMENTS:

This program was funded for FY 81 so accomplishments are not yet available, however problems developed when OCLC had extensive downtime and equipment deliveries were delayed.

University of Alaska

THE PROJECT:

The Alaska and Polar Regions Collection Enhancement Project consisted of two programs and was designed by the library staff after a careful analysis of the Collections to determine the most pressing needs.

The first would fund a preservation program designed to identify, preserve and establish the basic control over materials most susceptible to damage and deterioration. Materials in the book collection, nitrate negatives in the photograph collections and the nitrate film and some safety film of very old vintage have been identified for basic preservation treatment and the establishment of bibliographic control. The materials so identified and selected for this proposal are only those most in need of care and not included in the on-going rare book and rare map preservation programs. There are additional materials in each of the areas that need attention but which are not in the critical stage of deterioration as are the selected materials.

The second project involves the inputting of bibliographic data into the Washington Library Network, in MARC format, of the books and periodical collection related to Alaska and the Polar Regions. Those titles with MARC format can be input with no further work, but the balance of the collection will need to be tagged first. Completion of this project, the initial state of which was begun in the early 1970's, should provide the University with automated bibliographic control over that portion of its materials relating to Alaska and the Arctic. It would also make these holdings readily available to institutions in the Pacific Northwest and, through the Library of Congress, to other research institutions.

ACCOMPLISHMENTS:

This one year project was funded in FY 79; the objectives were met as proposed. A report was published describing project achievement - Access and Preservation: Keys to the Past, Keys to the Future.

American Museum of Natural History

THE PROJECTS: FY 78

The Library of the American Museum of Natural History, a major research resource in the fields of natural and earth sciences and anthropology seeks funding for two projects that will strengthen its collection and make it more easily accessible. The first is to acquire monographic materials in three priority levels: 1) Zoology, Anthropology, and Earth Sciences; 2) Reference materials; 3) General science and natural sciences, history of natural science, and Museology; and to catalog the proposed acquisitions. The materials to be acquired were published primarily between 1965-1975 when the Library budget could not keep up with the rising costs of scientific materials.

The second project is to recatalog the unique serial collection of 17,000 titles, according to standards of the National Serials Data Program. All 17,000 titles have been entered onto a computer data base. Bibliographic information still remains to be verified and entered so that a catalog with subject, corporate author indexes and necessary cross-references can be produced and made accessible to the scientific community.

FY 79-80

The American Museum of Natural History Library proposed two two-year projects to strengthen its collections and to make them accessible nationally and internationally to the research and scholarly communities. The grant supports two projects: the continuation of the acquisition of retrospective materials; and the institution of OCLC for cataloging current acquisitions, as well, as the in-putting of the Library's shelflist into the OCLC network.

The two projects have had a fruitful and successful year. The availability of OCLC terminals and services have served to expand services offered to the Museum's scientific staff and to increase the quantity and efficiency of services provided to outside patrons. The scientific staff continues to take an active interest in the projects: recommending materials for acquisition; borrowing the majority of newly acquired materials (85% were borrowed immediately); and taking advantage of the OCLC terminals for verifying citations. The Library joined the OCLC interlibrary loan subsystem and has begun receiving requests from other libraries and is providing this service to the Museum's scientific staff.

FY 81

The Library of the American Museum of Natural History, a major research resource in the fields of natural and earth sciences and anthropology, seeks support for a one-year project to strengthen its Photographic Collection, one of the world's pre-eminent scientific and historical photographic records.

The proposed project is: to survey the approximately 800,000 photographic images and to disseminate a guide to the Collection.

ACCOMPLISHMENTS:

Each of the funded projects was completed as proposed.

University of Arizona

This project will fill a void by acquiring and bringing under bibliographic control research materials on arid lands not held or rarely held in U.S. libraries. Much of this literature consists of technical reports issued by research units of universities and government agencies in arid countries. By adding them to a national union catalog (OCLC) and by indexing them in the internationally distributed Arid Lands Abstracts prepared by the Office of Arid Lands Studies at the University of Arizona, and published by the Commonwealth Agricultural Bureau in England, we propose to make their presence known to the national and international research community and to increase the sharing of such materials. In addition, a guide to resources designed to assist the researcher in this broad, interdisciplinary field will be prepared.

ACCOMPLISHMENTS:

This two year project was funded for FY 80 and 81. The objectives are expected to be completed as proposed. The nature of the project allowed University of Arizona staff to concentrate on the elusive, difficult to acquire material, much of it from third-world countries. At least a portion of the material is not held elsewhere in the U.S.; following this project it will be available through OCLC.

Art Institute of Chicago

THE PROJECT:

There were two components of this FY 78 project:

I. Collection Development

1. Important limited editions in the art field are offered annually on subscription which are beyond the means of the budget of the Art Institute Library. Many will go out of print quickly. As a major research library, we should acquire a percentage of these titles, otherwise they will be unavailable to researchers.

2. The periodicals collection will be surveyed by the staff. Reprints and microfilm editions will be acquired to complete gaps in holdings developed in war and depression years. Original editions of important and much-used periodicals have deteriorated beyond repair and will be replaced. Reprints of foreign sources and documents will be acquired to supplement existing special French collection, as well as Italian and Spanish.

3. Photography, a collection area of limited size, will be further developed. As many early titles are out of print, we propose to acquire recently offered photography microfilm library (2,500 titles) drawn from the foremost photography collections in the United States.

II. Conservation

1. The library has in its collection twenty-six original drawings of Daniel Burnham's Plan of Chicago. These cannot be unrolled or photographed because of their condition. These are important documents in the study of city planning and architecture and must be restored, photographed, microfilmed and made available to scholars in the United States and Europe.

2. Inland Architecture, Chicago, 1853-1908, an important, rare architectural periodical, exists in its entirety only in the Library of The Art Institute of Chicago. The brittle paper of the text is beyond restoration. The photogravure plates printed on better grade will be removed, de-acidified and

boxed to preserve one set of original plates. We propose that this title be issued in a microfiche edition and made available to other research libraries.

ACCOMPLISHMENTS:

The objectives of this FY 78 funded project were met as proposed, with the only exception being one title delayed in publication.

Boston Public Library

THE PROJECT: FY 78, 79

The funds requested in this proposal are intended to cover some of the personnel costs of editing the Research Library Catalog of the Boston Public Library. This catalog of 7.5 million cards represents the 3.5 million volumes of the Research Library Collection, as well as extensive holdings of microfilms, manuscripts, sheet maps, prints, pictorial archives, and miscellaneous other research materials.

The Library plans to freeze the growth of this catalog as of December 31, 1980. Microfilming of the catalog is planned to begin January 15, 1981. The microfilm will be produced in fiche format with an expected density of 2400 frames per fiche. Copies of this 3000-fiche catalog will be distributed to libraries throughout the state of Massachusetts. Additional copies will be available to libraries elsewhere.

FY 81, 82

This project is directed to the preservation of deteriorating research materials in the special collections of the Boston Public Library including rare, fragile books, pamphlets, manuscripts, maps, historic documents, newspapers, architectural plans, prints, and photographs. Project funding encompasses personnel, equipment and supplies, microfilming, and the production of special bibliographies. This program will insure the accessibility of several unique collections to a wide range of scholars both here and abroad.

ACCOMPLISHMENTS:

The monumental task of editing and filming the card

catalog was completed, with LSCA funds supporting the actual microfilming part of the project.

The preservation project is well underway, having been funded for FY 81 and 82.

Brown University

THE PROJECTS:

Two of the grant proposals are designed to improve access, in Rhode Island, nationally, and internationally, to unique library resources of Brown University. These two projects will increase the scholars' awareness of Brown's rare book and sheet music collections through entry of cataloging for these collections in a national bibliographic utility and production of special lists and catalogs.

The third project aims to increase the resources of the John Hay Library's Harris Collection of American Poetry and Plays which is already nationally and internationally known through the G.K. Hall printed catalogs. In our fiscally constrained times, the scholars and libraries have depended increasingly on the strength of the Harris Collection. To prevent its deterioration and maintain its quality will benefit the general community of scholars.

1. John Carter Brown-John Hay Libraries Rare Book Cataloging Project: This project aims to make two major collections of rare books from the John Carter Brown and John Hay Libraries more readily accessible to scholars in this country and abroad. The project envisions cataloging approximately 4,500 pre-1800 rare book titles during the first year using the most current rare book cataloging rules as developed by the Library of Congress and adding records in an expanded MARC format to the data base(s) of a national bibliographic utility. An additional 10,500 titles would be cataloged and added to the data base(s) if the project is extended for two years.

2. John Hay Sheet Music Cataloging Project: This pilot program aims to catalog approximately six thousand pieces of sheet music from the Black tradition and from the two world wars collected by the John Hay Library and, using an expanded MARC (Music) format, add the records to a national bibliographic utility. This will be the first large scale sheet music cataloging project ever undertaken which will have as its end product a Computer Output Microform (COM) catalog of sheet music in the MARC format with

indexes for fourteen data elements.

3. Harris Collection Project: The Harris Collection of American Poetry and Plays is the largest and most comprehensive collection of its kind in existence, with materials spanning three centuries, including all forms that a publication may assume, e.g., songsters, broadsides, little magazines, pagents, etc. This project aims to eliminate a backlog of some 2,000 unordered books and serial titles, caused by severe inflation, shrinking endowment income, and burgeoning publication in this field. Some funds are also requested for processing these materials and preparing guides to two collections: the Langdon Collection of American Pageants and the Saunders Collection of Walt Whitman.

ACCOMPLISHMENTS:

The project objectives, funded for FY 80 and 81, were achieved as proposed, with the exception of a slow start for the rare book cataloging aspects of the program, due primarily to difficulties of recruiting and training staff and because of new procedures from RLIN at that time. RLIN was also down for a month and a half during the grant period.

University of California, Berkeley,
a joint project with University of
California, Los Angeles, Stanford
University

THE PROJECT:

In order to make their extensive serials collections more widely available and to strengthen their capacities for participation in cooperative and networking activities the University of California, Berkeley, Stanford University, and the University of California, Los Angeles, are involved in a joint project to build on their already existing machine-readable files by converting to machine-readable form virtually all the serial titles in their collections. The participants are developing and implementing methods for linking their serial files in order to produce serial finding tools in a true union list format. During the first project year the three libraries established basic organizational structures and staffing and worked out the technical and procedural details for the conversion efforts. During the second project year the established conversion

activities continued, and the planning and production of the first combined list was undertaken. Detailed holdings statements are being added to the records to strengthen the capacity of the libraries to participate in interlibrary lending and resource sharing programs. During the third project year the libraries concentrated on the conversion of document serials.

ACCOMPLISHMENTS:

The objectives of this three year project, funded for FY 78, 79, 80, were met as proposed, providing national bibliographic access to the extensive serials collections of these three libraries.

Center for Research Libraries

THE PROJECT:

The Center for Research Libraries proposes a project to enhance bibliographic access to its collections by producing a catalog on microfiche. The materials held by The Center represent a large, unique and valuable resource for scholars and researchers in the United States and around the world, but the sharing of these resources has been hampered by the lack of a complete and up-to-date catalog of The Center's holdings. The project for which The Center is seeking support will enable The Center to begin a long-term program, the future phases of which will be supported by The Center, to provide scholars and researchers with the information they need to make the most effective use of The Center's rich resources.

ACCOMPLISHMENTS:

Work is well underway to achieve the objectives of this one year project funded for FY 81.

University of Chicago

The Project: FY 78

The University of Chicago Library proposes two projects for support under HEA II-C. The first is to maintain the

strength of library resources for original investigation of the history of civilization and of contemporary culture from Eastern Europe and the Middle East eastward to Japan. The Library is a preeminent center for access to cultural records of these great civilizations from the earliest times, and to contemporary documentation essential to understanding and informing the affairs of government and business in this increasingly interdependent world. The University of Chicago has strong academic commitments to research and scholarship in these areas. Catalogs have been published for the Far Eastern and Middle Eastern collections. Bibliographic records for all library resources acquired will, with the exception of Far Eastern languages, be added to the Library's machine-readable data base of more than 500,000 records.

The second proposal (also submitted by The John Crerar Library) is to improve access to the currently received scientific, technical, and medical serials of the University of Chicago Library, the John Crerar Library, and the Center for Research Libraries. A machine-readable data base for the estimated 21,030 unique titles received will be constructed during this project. The three libraries will thereby be able to identify gaps which are covered by another of the three and those which should be filled, to initiate a program of direct referral of interlibrary loan and photocopy requests received by one of the three to the library with appropriate holdings, and to serve better the academic and industrial research communities which traditionally look to these collections for library resource sharing. The bibliographic records created and the collections represented will thereby become available to the developing national serials data base and could constitute a principal segment of a national periodicals system.

FY 80

An intensified one-year program of acquisitions is proposed to strengthen further the University of Chicago Library's Persian collection, which is currently the largest such collection in the United States, through the purchase of older Persian materials, the reproduction of documents and manuscripts held the Central Library of the University of Tehran, and the substantial acquisition of Iranian publications from the last years of the Pahlavi regime, the revolutionary period, and the present regime. The University of Chicago Library serves as a national resource center for Iranian studies; and the proposed acquisitions would represent a major addition to this resource. Bibliographic access to the materials would be provided by the forthcoming Second Supplement to the G.K.

Hall Catalog of the Middle Eastern Collection (Formerly the Oriental) Institute Library, University of Chicago.

ACCOMPLISHMENTS:

These projects were each completed as proposed.

University of Chicago

THE PROJECT: FY 79, 80, 81

A structured, three-year program is proposed for the South Asian collection which is considered one of the strongest in the world. Comprehensive collecting has been sustained since the inception of the PL-480 program of acquisitions in 1962. The collection encompasses not only English and the major languages of both language groups, Indo-Aryan and Dravidian, but also tribal languages and regional dialects. Retrospective works needed to strengthen the collection will be identified and a program of acquisitions will be initiated. Selected works will be preserved through microfilming or conserved through techniques such as lamination. An intensive cataloging effort will be undertaken to bring a 30,400 volume arrearage of PL-480 monographs under full catalog control. The catalog of the collection will be edited and prepared for publication in 1982, just after the closing of card catalogs at the Library of Congress and many other research libraries, and coinciding with major changes in cataloging practice and bibliographic access which that event will herald.

Project activity:

strengthening the Library's South Asian holdings through a program of acquisition and preservation,

process backlogged and to-be-purchased items into the collection providing standard cataloging, and

prepare the public catalog of the Library's South Asia Reference Center for publication.

There have been only two changes since drafting the original proposal.

It has become more desirable to have two shorter buying trips than one long one. Dealing with Indian booksellers is always a slow process, and when looking

for specific, out-of-print titles, one must allow them time to search and take the trouble to examine their findings before purchase.

In order to hold down ultimate purchase costs for the South Asia Reference Center's public catalog, a decision has been made not to increase its bulk by adding subject and added entry cards. It is hoped that this will make the published catalog more accessible to colleges and small universities which otherwise could not consider the expense. Instead of adding the cards, special attention will be paid to ensuring an authoritative name and cross-reference structure, and to the possibility of later title and subject indexes.

ACCOMPLISHMENTS:

This three year project is expected to achieve its objectives as proposed.

Cleveland Public Library

THE PROJECT:

The Cleveland Public Library recognizes that its richest and least available periodical holdings are excluded from the Periodicals Holdings List which contains only those publications currently received. Access to the Library's closed periodicals is available only through the Library's card catalogs. We now propose to enter into both the OCLC and the Library data base the holdings of over 20,000 closed titles and to publish an expanded list of periodical holdings for those research libraries which do not have access to OCLC and wish to receive it.

The activities of the project to be undertaken through application for a grant are:

1. identify closed periodicals not included in the current Periodicals Holdings List;
2. verify the Library's holdings;
3. verify titles using standard bibliographic sources;
4. maintain an on-line data base of the titles;

5. issue a hard copy of the list, including all periodicals, closed and current and making it available to research libraries.

At the conclusion of the project, the libraries of the Cleveland Area Metropolitan Library System who participated in adding their holdings to the current periodicals list will be invited to add their holdings of closed periodicals.

OBJECTIVES OF THE PROJECT

1. enhance the availability of Cleveland Public Library's extensive periodical collection to scholars and researchers;

2. promote the sharing of library resources;

3. strengthen networking capabilities through cooperative programs.

ACCOMPLISHMENTS:

This project was funded for FY 81 and is expected to complete its objectives. The CRT and computer time were not fully available until a month into the project.

Colorado State University

THE PROJECT:

This three year project will fill a void by bringing under bibliographic control a subset of U.S. Government documents (non-depository) not now indexed in the Monthly Catalog. These important materials were often issued in limited press runs but are nevertheless of great significance to research scholars. By indexing them in a COM bibliography and adding them to a national union catalog (OCLC), we propose to make their presence known to the research community and to increase the sharing of such materials.

ACCOMPLISHMENTS:

The goals of this project funded for FY 78, 79 and 80 were achieved as planned. The project cataloged and added to OCLC and RLIN cataloging data for publications which never appear in the Federal government's major indexing tool.

Columbia University

THE PROJECT:

The award is for five projects:

1. East Asian Library Preservation Microfilming This project will film, catalog, and report to appropriate agencies unique and valuable Chinese materials, including items relating to the early politics, history, and laws of the Republican period.

2. Avery Architectural Drawings Conservation Five hundred of the most damaged or valuable American architectural drawings from the great Avery archives will be restored and preserved.

3. Rare Book and Manuscript Library Conservation Two thousand rare literary and art posters from the Engel Collection will be selected for repair and preservation on the basis of their scholarly value and condition.

4. Health Sciences Library Conservation One hundred forty-four rare historical works in medicine and science will be restored to usable condition and protected from further deterioration.

5. Bibliographic Control of Microfilm Master Negatives Approximately 6,000 microfilm master negatives will be bibliographically verified or cataloged and reported to appropriate agencies to make them accessible and preclude costly duplicate filming.

ACCOMPLISHMENTS:

The accomplishments of the projects exceeded the expectations in that changes in methodology permitted more items to be dealt with. Funding was for FY 79.

Cornell University

THE PROJECT:

This project will strengthen and make more accessible the Cornell University Libraries collections relating to Asia. Through regular University appropriations and by the support from this project and other grant activities, these collections are now approaching 500,000 volumes in western and vernacular languages. The collections have particular strength in the fields of linguistics, history, literature, sociology, anthropology, agriculture and general sciences. They support a variety of programs such as FALCON, the widely recognized program to teach Japanese, and the professors of history and history of art working in Southeast Asia. A grant from NEH has supported Cornell scholars microfilming palace manuscripts in Indonesia which has been so well received that the University has allocated additional funds to continue and expand the program. Local funds for Southeast Asian acquisitions have been increased by $6,000. The University has also expanded its contacts and projects in China and planning is now underway to expand our resources in Chinese agriculture.

Three geographic areas are active. The Echols Collection on Southeast Asia will be augmented by the acquisition of 1,000 serials titles and 500 foreign dissertations on microfilm and will be made more useable by the cataloging of a backlog of 4,000 titles of Vietnamese material and a supplement to the existing seven-volume Southeast Asia Catalog. An effort will also be made to establish exchange agreements.

The Wason Collection on East Asia will be developed by the acquisition of Chinese manuscripts and documents on microfilm and by the purchase of material on Japanese Buddhism and drama. The material will be cataloged over the duration of the grant and exchange arrangements with the Peoples' Republic of China begun.

The South Asia holdings will be strengthened by the acquisition of monographs in areas not covered by the PL 480 program and by the purchase of serials to fill gaps in existing sets. Four newspapers from the area will also be purchased and exchange agreements strengthened. A backlog of 7,280 titles acquired through the PL 480 program will be cataloged for greater access.

ACCOMPLISHMENTS:

This three year project was funded for FY 79, 80, 81 and the objectives were exceeded as planned, specifically more dissertations on SE Asia were purchased, more SE Asian serial holdings were purchased, and more retrospective purchases were possible. A preservation program for Asian Collections was added during the third year.

Dartmouth College

THE PROJECT:

Dartmouth College Library received support to expand and improve the quality of its unique holdings of polar resources. The objectives of the project are as follows:

1. Improvement of bibliographic control and expansion of access to the Library's unique collection of polar materials;

2. Enrichment of the RLIN data-base with high quality AACR2 cataloging of the polar materials;

3. Enlargement of the Cold Regions data base;

4. Improvement of the intellectual and bibliographic control of the Stefansson Manuscripts Collection;

5. Enhancement and strengthening of the current holdings in cold regions resources; and

6. Conservation and preservation of the unique materials within the polar regions holdings.

To meet these objectives, three broadly based activities are proposed: retrospective conversion, conservation, and collection development.

The Dartmouth College Library project would retrospectively convert some 5000 monographs identified as the Library's polar resources. Approximately 2000 records are now in machine-readable form. Together, these 7000 items constitute the core of the polar resources, a collection unrivaled in North America for depth and breadth. All 7000 items would be cleaned, repaired and/or restored according to the highest standards of library conservation.

ACCOMPLISHMENTS:

This FY 81 project seemed to be well on its way at the first progress report.

Duke University

THE PROJECT:

Duke University Library received a grant, allocated among the three major research libraries of Duke University, The University of North Carolina at Chapel Hill, and North Carolina State University at Raleigh.

As the applicant institution, Duke University administered the funding which was used to maintain and develop the research collections of these libraries in meeting the needs of a growing scholarly constituency. The location of a number of private and governmental research institutes in the nearby Research Triangle Park has expanded the level of demand upon the collections. The strengths of these collections was instrumental recently in attracting the National Humanities Center to the Research Triangle Park. The Center will serve as the headquarters for fifty fellows in residence each year beginning in 1978. These distinguished scholars will require an unusual range and depth of library materials which will intensify the need for building upon present holdings to maintain existing strengths and for the need to develop other areas of the collections necessary to scholarly endeavor.

Collection development activities were undertaken within the framework of long-term existing cooperative acquisition programs involving the three institutions. Agreements between the three institutions have touched traditionally on a number of essential matters in the building of collections: a) the delegation of responsibility for the development of subject areas in great depth by the institution whose instructional and research programs most closely correspond to the subject; b) by the assignment of responsibility to an institution for the acquisition and preservation of materials in formats subject to deterioration; c) an assignment for the acquisition of research materials according to geographical and language parameters. As a result of these cooperative activities the three libraries can offer in one region, in effect, a combined collection of almost 6,000,000 volumes and other resources to meet evolutionary patterns in academic research and study.

To maintain and strengthen these collections as they attract additional interest through evolving means of identification and access such as regional and national data sources will require funding above the level now possible by the institutions.

The amount of funding requested will supplement the appropriated book budgets of each institution. In particular, it will serve to raise the level of cooperative collection development activities and will enable the libraries to collectively expand those resources upon which rapidly increasing demands from new and enlarged constituencies can be anticipated.

ACCOMPLISHMENTS:

This project was funded for FY 78 and continued as a separate award in FY 80. The objectives have been achieved as proposed, in a model way.

University of Florida

THE PROJECT:

This award provides funds to begin the development of a regional resource sharing system for current serials among eight research libraries in the Southeast: Emory University, University of Florida, Florida State University, University of Georgia, University of Kentucky, University of Miami, University of Tennessee, and Virginia Polytechnic Institute and State University. The participating libraries will create a data base of current serials titles and formulate plans to create a computer-interpretable notation for detailed serials holdings, rapid interlibrary loans, cooperative serials collection development, and an outreach program to encouarge future participation among other SOLINET members. The conversion will be done through the OCLC, Inc. bibliographic utility.

The purpose of the Southeastern ARL Libraries Cooperative Serials Project is to begin the development of a regional resources sharing system for current serials among eight research libraries in the Southeast. The long-term goal of the project is a collective approach to resource sharing through programs of cooperative acquisition and de-selection of serial titles. The mid-term goals of the project to be accomplished by 30 September 1981 are: 1) to create a data base of current serial titles

held by the participating libraries; 2) to prepare a draft of a computer-interpretable notation for a detailed serials holdings statement; 3) to prepare a cooperative collection development plan for serials; 4) to prepare a plan for rapid interlibrary loans between the participating institutions; and 5) to develop an outreach program to encourage greater regional participation in the project.

ACCOMPLISHMENTS:

This project, funded for FY 81, was off to a good start, despite initial delays with delivery of some equipment. The project is quite ambitious for a one year project, but appears to be headed for successful completion.

Folger Shakespeare Library

THE PROJECT:

The Folger has begun a major building renovation program to accommodate the needs of its growing collections and to provide more space for readers and staff. HEA II-C provided an excellent opportunity to upgrade Folger equipment and to fill critical gaps in the Folger collection. The Folger lacks funds for this purpose, however, because of the impact of inflation on its regular operating budget and its need to concentrate its fund-raising efforts on the building renovation program.

The objectives of the grant include the acquisition of computer hardware in order to join a national cooperative cataloging and bibliographic reference network; the acquisition of equipment to upgrade photographic services and the addition of microfilm reading equipment; the acquisition of equipment for the preservation and repair and restoration of special collections; and the acquisition of critically rare books, microfilm and facsimile reproduction of rare materials and significant multi-volume reference sets to fill current gaps in the special Folger Collections.

The specific needs were these:

1. Catalog Networking - The Folger needs to acquire the necessary computer hardware so that it may join other libraries throughout the U.S. in cooperative cataloging and bibliographic reference networks, through RLG/RLIN.

2. Photoduplication - The Library needs replacement and additional equipment to upgrade the photographic services it provides to scholars all over the world and replacement and addition of microform reading equipment for use by its own readers.

3. Conservation - The Library needs additional equipment for its conservation workshop to achieve the capability of using recent technology for the preservation and repair and restoration of collection materials.

4. Collection Acquisitions - Significant gaps presently exist in the Folger collection which limit its usefulness to scholars. Three areas in need of attention are:

   a. Critically important rare books needed to round out particular special fields.

   b. Microform and facsimile reproductions of rare materials which are central to Library collection fields but which cannot be purchased in the original.

   c. Significant multi-volume reference sets needed for use with Folger rare books and manuscripts.

ACCOMPLISHMENTS:

This project was funded for FY 78; there were substantial problems with installation of computer facilities, resulting in a request for an extension. Once problems were resolved, the project met its central objectives.

Harvard

THE PROJECT:

A major preservation project was undertaken by Harvard in FY 78, 79, 80 and 81 with HEA II-C funding.

Assisted by curators, librarians, and other subject specialists of the Harvard University Library, project staff identified research materials that are not now available for lending because of fragility or rarity; searched and assembled

relevant bibliographical data; and obtained assignments of priority from the Librarian for Collection Development in the Harvard Univeristy Library. Priorities were based on specified criteria, taking into account research value, physical condition, and availability of other copies in the Library of Congress and other research libraries.

One master negative and one positive (lending) copy were made of each item assigned a priority high enough to warrant its inclusion in the project. The funds requested for filming were sufficient for approximately 5,800,000 exposures (nearly 11,600,000 pages). Filming was done by the Library's own photographic service.

Appropriate steps were taken to notify other research libraries of the availability of lending copies of all material filmed, and of the fact that positive copies can be purchased at cost.

These special segments of the project are identified: 1) Organization and listing of a collection of Judaica ephemera, 2) preparation for filming of Chinese materials, including some 800 fascicles printed before 1368 and Chinese ephemera dating from 1950-1953, a crucial period in the history of the People's Republic of China, 3) Slavic materials.

Some of the material included is on paper so brittle that texts will soon be lost if not filmed; all of it must be filmed if it is to be used by scholars in other libraries.

ACCOMPLISHMENTS:

The objectives of this project have been fully achieved, indeed the library succeeded in producing more frames of negative microfilm than called for by estimates in the grant applications. Everything filmed represents an addition to resources that the Harvard Library can make available to scholars and libraries throughout the country, by loan or by sale of film copies, at cost.

University of Hawaii

THE PROJECT:

This project will enable the University of Hawaii at Manoa Library to enhance access to its extensive and internationally known Pacific Collection.

The objective of the project is to encourage wider availability of research materials in the Collection for scholarly use by converting its retrospective bibliographic records to the OCLC data base. This conversion is proposed not only for the immediate purpose of making the titles available in a national data base but also for creating and storing data for generating bibliographic products and services to scholars and researchers.

Realization of this grant provides a focal point for the beginning of Pacific area bibliographic control of materials and the facilitating of research in this increasingly important area.

ACCOMPLISHMENTS:

This project was funded for FY 81 so accomplishments are not yet available; although off to a slow start, the project appears to be moving forward as planned and will provide bibliographic access and wider availability of Pacific Islands research materials to scholars.

Henry E. Huntington Library and Art Gallery

THE PROJECT:

This three year project continues a unified three-part program of support for conservation and distribution of the extensive collections of the Huntington Library, through strengthening of three service departments: the Photographic Laboratory, the Bindery and the Manuscript Conservation Laboratory. The grant-funded work and equipment were installed in a new technical services wing, completed early in 1981. All construction costs are being paid for by a separate and private capital campaign.

Three service departments will be strengthened through the addition of staff and equipment - the bindery, the manuscript conservation laboratory, and the photographic laboratory. The strengthening of these centers which repair and preserve materials will insure their future life and enable the distribution of materials to a wider audience through reproductions. The project is designed to upgrade the quality and increase the quantity of work done in these three departments. Each would receive added staff to diminish backlog of orders and some modernized equipment to render work more efficiently and to produce more professional

results. Several thousands of 17th Century English pamphlets are in need of paper restoration, sewing and binding to survive. The staff of the Manuscript Conservation Laboratory will be sent to Ottawa to spend three weeks learning new enzyme treatment techniques. Basic equipment to outfit a modern lab space for photographic work will be purchased.

ACCOMPLISHMENTS:

These projects were funded for FY 78, 79 and 80, concentrating on the addition of equipment and staff training. This HEA II-C project has been of immense help in upgrading the library's ability to preserve its materials, making them readily available to scholars.

University of Illinois at Urbana-Champaign

THE PROJECT:

In order to strengthen its Slavic Reference Service and other resource-sharing activities, The University of Illinois Library Slavic and East European Department added about 8,000 volumes of out-of-print serials and monographs to the Library's distinguished Russian and Soviet collections. The aims are to build complete runs, unique outside the Soviet Union, of some 300 scholarly serial titles and to strengthen monograph holdings in Russian history and literature, in geology, and in mathematics.

The University of Illinois Library is the central library in a specialized national network of Slavic collections. The acquisitions proposed will greatly improve the Library's ability to respond to the requests it receives for material that is, for the most part, unobtainable elsewhere in the United States.

This project complements the work of the Mathematics Document Delivery and Reference Service project by providing a strong collection of Slavic language mathematical materials unique in the United States.

In addition, The University of Illinois undertook a project to update, fill lacunae, and plan the future development of its Cavagna collection in northern Italian history. Building on work done in the first year of the research and acquisitions program funded by the Office of Education, they completed purchases and cataloging of significant monographs,

pamphlets and other printed sources. All materials come from Italian bookdealers or on microfilm from Italian libraries. The OE program complements bibliographic work supported by the National Endowment for the Humanities now being done on a portion of the existing collection. The NEH program, combined with the OE project, ensures that this uniquely rich resource, for Italian history is kept strong and easily available to researchers throughout North America.

The HEA II-C program enabled the University of Illinois to establish over a two-year period a document delivery and reference center in mathematics. The 2,000 unowned monograph titles reviewed in Mathematical Reviews will be acquired on microfilm and added to an existing collection of 35,000 monograph titles and 1,300 serial titles. Data from all titles will be entered into the OCLC data base, using AACR-II cataloging and latest class numbers. Thus, this project will provide nationwide access to a major research collection in mathematics, by means of standardized, uniform cataloging in the country's largest automated data base.

ACCOMPLISHMENTS:

The acquisition projects proceeded as planned; Slavic was funded for FY 78-81; Cavagna collection was funded for FY 78, 79.

The Mathematics document delivery and reference system, funded for FY 81, 82, experienced considerable slow down because terminals had not been received from OCLC and because of slow staff recruitment. When completed, this component of the Illinois project will produce a broad and in-depth data base for mathematics, as well as upgrading the records in the national bibliographic data base, OCLC.

Indiana University

THE PROJECT:

The first project, funded for two years - FY 78, 79 - provided access to the library's serial collections by converting serial bibliographic records into MARC-S format, by adding on-line associated holdings for each title according to the American National Standards Institute Committee Z39 Subcommittee 40 Standard for Serial Holdings Statements and by providing programming capability to accomplish this.

The capability for adding holdings will then become available to other libraries. Unique serial titles will be completed, deteriorating titles will be preserved, and high demand titles will be duplicated.

This would almost certainly provide the only union list of serials using the MARC-S format and the ANSI-Z39 SC40 national standard.

The second project, funded for FY 81, will provide cataloging for the approximately 14,000 titles in the microprint set English and American Plays of the 19th Century, providing bibliographic control and access to works valuable to scholars and researchers in theatre and drama. The bibliographic records will be produced in full MARC format and input into the OCLC, Inc. data base in order to share the bibliographic data with the research community.

ACCOMPLISHMENTS:

The serials conversion project, although not completed at the grant's expiration, will make available a nationwide system for rapid, decentralized entry and maintenance of summary holdings information. The project results have proved to be a value for other libraries in their on-line union list development and interlibrary loan operations. Experience with the American National Standards Institute Standard for Serial Holdings Statements at the Summary Level has been shared with other libraries, and problems encountered have been forwarded to the ANSI Committee Z39.

The greatest setback in the completion of this project was development of the On-Line Union List subsystem at OCLC. Once the subsystem was developed, records could be transferred, but the project lost at least a year of scheduled production time.

Iowa State University

THE PROJECT:

This project will develop a preservation program for films deposited in the American Archives of the Factual Film at the Iowa State University Library, which will identify and correct defects in the films, analyze the contents and the technical aspects of the films, add this information to OCLC, Inc. data base, and produce a title/subject book

catalog of these films for distribution throughout the country.

The American Archives of the Factual Film is a unique endeavor. No other archive in the country is devoted to all aspects of the factual film. It includes not only the films themselves, but also written and printed materials relating to film production and distribution. Because these films cover the total gamut of intellectual, social, economic and technological developments during the twentieth century, the Archives possesses an unprecedented resource. Without preservation work and comprehensive bibliographic control, however, these research materials cannot be utilized.

ACCOMPLISHMENTS:

This project was funded for FY 81 so results are not yet known; however, no difficulties were encountered with start-up procedures and the project is expected to complete its objectives as planned. The on-line component is expected to meet the specific needs of scholars and researchers for detailed point-of-use information covering procedures, sponsors, animation and other essential elements.

University of Kansas

THE PROJECT:

The work of this project will provide cataloging for 14,000 rare titles, published between 1850 and 1930, from the Howey collection on the history of economic thought. The titles will be made known to scholars and available through interlibrary loans by entering them in the nationwide OCLC computer-based bibliographic network. As the University of Kansas already owns the titles, the funding is for cataloging personnel and OCLC equipment only.

ACCOMPLISHMENTS:

This two year project was funded for FY 79, 80; all materials cataloged through the project were entered on the OCLC data base. In addition, a major article on the collection appeared in a history of economics journal.

Technical problems slowed the ultimate goal of the project so that 11,000 titles were completed rather than

the 14,000 scheduled in the proposal. The problems encountered were adoption of AACR 2 midway through the project and major library renovation which changed the physical location of the project.

As a result of the work of this project, interlibrary loan requests for the materials have increased, and there is interest in production of a book catalog for the collection and possible microfilming of the collection itself.

University of Michigan
a joint project with
Michigan State University
Wayne State University

THE PROJECT:

In order to make their extensive serials collections more widely available, the libraries of Michigan State University, the University of Michigan, and Wayne State University propose to convert their serial bibliographic records into machine readable MARC-S format in a common file. Holdings statements will be added to this joint data base. A union list of serials will be issued in COM (Computer Output Microform) format which will be available for distribution to various public, academic, and other types of libraries throughout the State of Michigan. All national standards for serials will be followed. This project will create a joint data base of approximately 210,000 non-unique serial titles or an estimated 165,000 unique serial titles. The goal of the project is to build an integrated machine-readable data base of the three libraries' serial holdings according to national standards that will enable these libraries to provide more complete access to their collections and to support the emerging national bibliographic network.

ACCOMPLISHMENTS:

This joint project was funded for three years - FY 79-81 and is expected to complete the conversion objectives as proposed; the union list may take longer than expected.

Among the problems encountered with this project were delays in taking delivery of OCLC terminals and slow response time and downtime due to OCLC program enhancements and move. In addition, it was not learned until the project was underway that only successive records allowed for union listing,

which required research of records and deleting holdings on latest records.

When complete this project will substantially enhance the national data base and provide records for other libraries converting their serial holdings.

Missouri Botanical Garden

THE PROJECT:

The Missouri Botanical Garden and the New York Botanical Garden put together a collaborative, intensive three-year effort to complete the recataloging/reclassification of these two outstanding library collections and to enter the entire cataloging and holdings records of both libraries into the OCLC data base, thus providing:

1. Greatly increased accessibility for interlibrary loan by the nation's academic and research library community to the comprehensive collections of the Missouri Botanical Garden and The New York Botanical Garden libraries.

2. A great enrichment of OCLC data base of high quality descriptive and subject cataloging information in the specialized subject area of botany, horticulture, and related subjects. This information can be used in turn by the nation's academic and research library community for specific cataloging, reference, and acquisition needs.

3. A great strengthening of the institutional and cooperative library resources of the Missouri Botanical Garden and The New York Botanical Garden not only in the area of continued shared cataloging, but also for increased coordination of interlibrary loan, reference, and acquisitions activities in the years to come.

The Missouri Botanical Garden (St. Louis, Missouri) and The New York Botanical Garden (Bronx, New York) are two of the nation's most distinguished botanical research and educational institutions. The libraries of these two institutions are among the most important and comprehensive botanical/horticultural libraries in the United States or, indeed, the world. Not only do these libraries support the extensive research programs of their parent organizations and affiliated

institutions of higher education, but they also serve a significantly large academic and research clientele from other organizations and institutions throughout the nation and the world. This service is provided through interlibrary loan, by personal visitation by scientists to the libraries, through correspondence, and through formal publication exchange programs. The holdings of both institutions are only partially listed in the National Union Catalog. Both libraries have undertaken with private, corporate, and some state governmental funding the massive task of recataloging and reclassifying their entire library collections to bring the records up to 20th century standards of descriptive and subject cataloging (MBG: 1970-present; NYBG: 1967-present).

ACCOMPLISHMENTS:

The work of this three year project - FY 78-81 - proceeded smoothly and met most of its objectives as planned. As a result, it provides the largest on-line resource in plant sciences through the OCLC system. The cataloging contributions by Missouri Botanical and New York Botanical will significantly reduce the costs of input by other major collections which use LC and decide to go on-line.

New York Public Library

THE PROJECT:

The Research Libraries of The New York Public Library, in its first application for a grant under the Strengthening of Research Library Resources Program, received support for three projects for the conservation or preservation of library materials; 1) Preservation Microrecording; 2) Documentary Preservation; 3) Preservation of the Pamphlet Collections. As a result of experience and success with the first year of the Title II-C program continued support is requested for two of these projects: 1) Documentary Preservation, and 2) Preservation of the Pamphlets Collection.

Funding for these two projects will assure that The Research Libraries will preserve and restore and make available for use to the scholarly and research community approximately 50,000 items, including rare, scarce, and unique books and pamphlets, manuscripts, and graphic documents including maps, prints and posters.

The documentary preservation program will permit; 1) the repair, rebinding, and boxing of rare volumes in the Special Collections, and scarce volumes (e.g., pre-1850 imprints) in the general collections; 2) the chemical stabilization, lamination and encapsulation of manuscripts and other unique documents; 3) The preservation of rare books, prints and other institutions for exhibition purposes; 4) the remounting and preservation of sheet maps, atlases and posters; and 5) the cleaning, chemical stabilization and lubrication of rare leatherbound volumes in the Special Collections and in the general collections.

The objectives of the pamphlet volume preservation project are: 1) the identification and inventorying of unique copies through a systematic search of the National Union Catalog of Pre-1956 Imprints and other bibliographic aids; and 2) the microfilming of approximately 40,000 pamphlets.

The importance of this project is that it guarantees immediate preservation of the intellectual content of a portion of the significant pamphlet volume collection (approximately 30% of which are estimated to be rare or unique) that is now crumbling away at an alarming rate, while providing impetus to national and international planning in the identification of unique cultural resources which are deserving of long-range preservation in the original format.

ACCOMPLISHMENTS:

The objectives of these projects, funded for FY 78 and 79, were achieved as proposed, with the significant results being that rapidly deteroriating materials unique to NYPL collections were rescued; better control of these materials was provided through reporting to NRMM; and better availability of materials was provided by making film copies from master negatives.

New York Public Library
a joint project with
New York University
Columbia University

THE PROJECT:

This is a major cooperative activity of the New York Public Library, New York University and Columbia

University. The program's ultimate objectives are to bring all art and architectural resources in the three libraries under bibliographic control, to develop a regional program of coordinated collection development, to provide ready physical and bibliographic access to these resources, and to develop and implement a rational and coordinated "best-copy" preservation and conservation program. The libraries will assess collection strengths; catalog uncataloged and inaccessible items; convert records to computerized format; profile the condition of materials within the three collections; identify "best-copy" candidates; preserve deteroriating materials; and enter appropriate records into the RLIN data base. Beyond the local level, the proximity and varying scopes of the three collections also provide an opportunity to create an effective national mode for other appropriate regional blends of institutional and inter-institutional activity.

As initial steps, each institution proposes institution-specific actions required to make certain their art resources are available for such a project. Projects included in this proposal are the assessment of collection strengths, cataloging and retrospective conversion through the RLIN database, determination of physical condition of materials, and preservation.

ACCOMPLISHMENTS:

The libraries of New York University and Columbia University and The New York Public Library have undertaken a one-year cooperative resource-sharing project that will establish the beginnings of a regional information center for research library users in the New York City area and serve as a pilot project and national model for other future centers.

The one year project was funded for FY 81; preliminary reports indicate that work is proceeding as planned, ultimately leading to better physical and intellectual control of these resources for future scholarly work.

New York State Library

THE PROJECT:

The Research Library Resources Access program will increase access to research resources by inputting into the OCLC data base the monographic holdings in the subject

responsibilities of two of the private research libraries which serve as NYSILL subject referral libraries (Cornell and New York University), and selected subject holdings of the four SUNY University centers (Albany, Binghamton, Buffalo, Stony Brook).

The Research Library Resources Access Project will assist the New York State Library and other cooperating research libraries to make their collections more accessible to individual researchers and scholars outside their normal clientele, and to other libraries whose users have need for research materials. By contributing bibliographic descriptions of major monographic holdings in these libraries to a national data base (OCLC, Inc.) the project will:

1. Assist researchers and scholars throughout New York State and the nation identify quickly and precisely the location of research materials in six New York State libraries.

2. Assist New York State research libraries to build a machine readable data base in selected research fields, available to libraries and library users throughout New York State, the nation, and other countries.

3. Help scholars and librarians identify gaps in research collections.

4. Help identify materials for which action must be taken to ensure preservation, and continued growth and development of research collections.

ACCOMPLISHMENTS:

This three year project was funded for FY 78-80 and added 446,000 New York State locations to the national data base, increasing access to its research resources and enhanced the usefulness of electronic locator files for the two major interlibrary loan networks in New York State, an essential component for any national plan for resource sharing.

Newberry Library

THE PROJECT:

Through this grant the Newberry Library will strengthen

its collections through replacing irreversibly deteriorated materials, thereby making our uncommon collections more useful to scholars in history and the humanities. Specifically, the library undertook a plan in FY 81 to identify and replace heavily-used materials which have become unusable due to deterioration. Segments of the collection which have been most affected are British history, local and family history, reference, and nineteenth-century scholarly journals. Replacements will be made through the purchase of reprints or microtext; when no microtext master or reprint is available the Library will have the materials microfilmed. All replacements will be cataloged and entered into OCLC, Inc. data base or reported to the National Register of Microform Masters.

ACCOMPLISHMENTS:

This FY 81 project appears to be moving along as planned and will substantially aid scholars of the subject areas covered by this project.

University of North Carolina, Chapel Hill
a joint project with
Duke University
North Carolina State University at Raleigh

THE PROJECT:

The University of North Carolina at Chapel Hill received funding to support the planning and development of a distributed processing system to provide improved access to the collections at the University of North Carolina at Chapel Hill, North Carolina State University at Raleigh, and Duke University. The combined collections of over 6,000,000 volumes are available to meet the demands of users from both the university communities and from the private and governmental research institutes in the nearby Research Triangle Park. However, until an adequate method of providing bibliographic information to users is developed, the collections cannot be properly exploited. Therefore, in order to improve mutual access to the collections, the Triangle universities libraries are requesting financial support 1) to plan a local online bibliographic access network linking the three collections, 2) to implement the initial phase or phases of that network, and 3) to produce an interim means of improved user access (a COM catalog).

The project involves the initial two years of development of computerized catalogs to improve access to the research collections in the Research Triangle and to support further coordination of the development of these collections. The project will also serve as a pilot for other research libraries planning local online networks within the framework of the emerging National Bibliographic Network.

The third year grant supports intermediate stages of development of a prototype online catalog to be operated at the University of North Carolina at Chapel Hill. In subsequent stages, similar online catalogs will be installed at Duke University and North Carolina State University to form a distributed, online network to be called the Triangle Research Libraries Network (TRLN). The network will provide access to the three collections for users from the university communities and from the private and governmental research institutes in the nearby Research Triangle Park.

ACCOMPLISHMENTS:

This ambitious project was funded for FY 79, 80, 81 with commitments for FY 82. Among the accomplishments to date, an Archive Tape system has been developed, a COM catalog produced, an Online Editing System developed and the Architecture for Online Catalog Systems is in the works, where change in design concept resulted in an integrated, modular approach.

This important project can be replicated elsewhere to meet the needs of a cluster of research libraries involved in a high level of resource sharing and coordinated collection development.

Northwestern University

THE PROJECT:

The Northwestern University project was designed to strengthen the Melville J. Herskovits Library of African Studies as a national resource for bibliographic and document access to Africana research material.

The ability of Northwestern University to meet the objectives lies in its rich resources and service experience which have earned the University a national leadership position in Africana scholarship. This status has been

defined further by the National Endowment for the Humanities currently funded project operating in conjunction with the Library of Congress to "Establish at Northwestern University Library a National Center for the Control of Bibliographic Data Relating to African Materials as a Component in a National Library Network."

Five programs are proposed for improving or exploiting Northwestern's resources that will significantly complement the Africana holdings of other American research libraries through acquisitions, bibliographic control and distribution of bibliographic products to other research libraries nationwide.

In order of priority the proposed programs are: 1) creation and upgrading of machine-readable bibliographic records for 16,700 uncataloged Africana publications, and printing and distribution of a resulting bibliographic listing; 2) generation of a computer produced to index 4,000 Africana conference papers; 3) acquisition of selected Africana serials backfiles of research value; 4) reproduction on microfilm of African archives and deposit of available negatives with the Cooperative Africana Microform Project at the Center for Research Libraries; and 5) acquisition of dissertations written at African institutions that provide primary source material.

This project is directed toward coping with a combination of major impediments to research on Africa: rapidly rising costs of materials accompanied by a dramatic increase in African publishing; a shift in the focus of African research to the continent of Africa concomitant with a rising level of difficulty in gaining on-site access to materials.

ACCOMPLISHMENTS:

This project was funded for FY 79 and each objective was achieved as planned. It substantially increased the number of serial titles and dissertations and the amount of archival material pertaining to Africa that are available for study in the United States. The project upgraded the bibliographic record for thousands of Africana monographs and provided, for the first time, index access to an entire body of research literature. In the long run, this project makes the entire collection of the largest Africana library in the United States accessible for the national community of scholars.

Ohio State University

THE PROJECT:

This project is intended to enhance the capability of The Ohio State University Libraries (OSUL) to provide interlibrary loan services for researchers in the state, the region, and the nation. This will be accomplished by strengthening, and providing enhanced bibliographic access to, three subject areas of the OSUL research collections which constitute a significant resource for the national research community: agriculture, education, and engineering/technology.

The project will have two principal component activities: 1) collection enhancement and 2) bibliographic record conversion. Collection enhancement will entail review of research material in the three targeted collections to identify lacunae and physically deteriorating items, followed by the selection and acquisition of material to fill these gaps or to replace (primarily in microformat) deteriorating items. Bibliographic record conversion will provide for nationwide access to the full holdings of these three collections by entry of bibliographic/holdings information for some 60,000 items into the OCLC, Inc. online data base.

ACCOMPLISHMENTS:

This project was funded for FY 81 and appears to be moving toward its objectives as planned. When completed, the project activities should strengthen OSU's ability to meet interlibrary loan demand, both by having a more complete collection in the targeted areas and by increasing awareness to them through OCLC.

University of Pennsylvania

THE PROJECT:

The collections of the University of Pennsylvania library system contain many thousands of 17th and 18th century imprints which include in their number many rare, scarce, and unique items. At present many of these books are housed in open stacks unprotected against theft and mutilation and, in some instances, unfavorable environmental conditions as well. These irreplaceable and ever-increasingly

valuable volumes must be protected for future generations as well as made more easily accessible to scholars and researchers currently working with these materials. With such responsibilities in mind, we propose to systematically survey our collections with the purpose of identifying these volumes, retrieving them from open shelves, repairing and/or rebinding where necessary, and finally isolating them in special quarters where they will be more adequately controlled and protected, and where they will be more conveniently available to the scholarly and research community.

In addition, because these titles are old and rare, they tend to be represented in our card catalogs and published sources by cataloging data which is incomplete and sometimes incorrect. This lack of accurate bibliographic control is a serious obstacle to the scholar seeking these materials. The Library proposes to address this problem by upgrading catalog records in our public card file where necessary, correcting misinformation wherever it is discovered and supplying missing information where needed to correctly identify a given volume.

Furthermore, as a valuable by-product of our proposed project, the University of Pennsylvania will be able to make an important contribution to the work already in progress at Louisiana State University which, through its funded projects, has established itself as the North American center for production of the Eighteenth-Century Short-Title Catalog.

ACCOMPLISHMENTS:

This project was funded for FY 80 and the objectives were achieved as planned except that the amount of LC copy available was overestimated, resulting in 3,000 titles to be processed after the grant. The project identified and transferred to the Rare Books collection between 9,000 and 10,000 pre-1801 titles; about half of these will eventually be accessible through RLIN.

Princeton University

THE PROJECT:

Princeton designed these projects to improve access to and control over four unique collections of value and interest to the scholarly community, where access to these resources had been affected by inadequate cataloging or

indexing and the slowness and high cost of microfilming manuscripts which cannot be lent. Each project, focuses on a distinctive collection, and so a different approach has been necessary in order to realize each collection's true potential.

The Library refined and completed the cataloging of its distinguished Chinese Collection in order to facilitate scholarly uses and to permit the subsequent publication of a printed catalogue. Princeton's extensive collection of English and American literary manuscripts received detailed indexing, with information available through on-line access. The archives of the American Civil Liberties Union, which are much in demand, saw their index completed for the crucial years 1912-1946. Another project replaced the cumbersome on-demand microfilming of Arabic manuscripts by a complete microfilm file which can now be copied quickly and economically for distribution to scholars.

ACCOMPLISHMENTS:

These projects were funded for FY 78, 79 and 80; each of the projects was completed, although there were some delays associated with securing the services of a Chinese bibliographer for the specialized East Oriental Collection. Procedures for handling Literary Mss. were changed to an on-line indexing system which slowed total output of this segment but resulted in more useful index to the manuscript collection; also the scope of the Literary Mss. collection was underestimated.

The Index of Archives of the American Civil Liberties Union was completed as planned, resulting in a high use tool to answer myriad questions from scholars on a wide range of issues.

The Garrett Collection of Arabic Manuscripts was successfully filmed, preserving unique materials and making them available to a wide international audience.

Rutgers University

THE PROJECTS:

This grant program supports four separate projects, enabling the library to: 1) acquire rare sound recordings and out-of-print materials still available and acquire a unique tape recorded collection of 650 artists or ensembles

to strengthen the collections of the Institute of Jazz Studies; 2) make the Ginsburgs collection of Soviet Legal Materials stronger and more accessible by cataloging the materials and entering records into MARC-compatible format for the RLIN data base, by acquiring additional relevant materials, and by preparing a guide or catalog from MARC compatible records in order to provide copies of computer tape files or COM formats to researchers; 3) convert the Classified Abstract Archive of Alcohol Literature to machine-readable form and load the collection into a computerized data base for on-line accessibility to researchers and scholars; and 4) preserve, sort and reorganize vast amounts of data in the Work Projects Administration's American Imprints Inventory, eventually leading to publication in subsequent volumes of the Checklist of American Imprints.

ACCOMPLISHMENTS:

These projects, funded for FY 79, were completed as planned and will contribute significantly to the use of materials in these areas.

University of South Carolina

THE PROJECT:

The Fox Movietonews newsfilm collections given to the University of South Carolina by Twentieth Century Fox represent the largest collection of newsfilm covering the period 1919-1963. There are some 300,000 news stories contained on more than 60,000,000 feet of film which will be cataloged in an on-line computer configuration that is being designed so that users from throughout the world can ascertain what stories there are in the collection which they will need for research and study.

ACCOMPLISHMENTS:

This one year project was funded for FY 81, with work reported as proceeding as planned, namely 1) to develop an on-line retrieval system that would make available summary descriptions of any of the collection's news events by accessing the data base with nearly any word contained in the record, including the story title, summary, date, and story cameraman; 2) to create a data base of sufficient size from which to test the system; 3) to recruit skilled

project staff; 4) to develop a work flow organization that will emphasize the reliability and integrity of the record while achieving quantity input; and, 5) to structure and sophisticate the cataloging policies for the collection.

University of Southern California

THE PROJECTS:

Two quite distinct projects were funded for USC. In FY 79, the project objective was to prepare an index to the Universal Pictures manuscript collection. This collection of over 1,200,000 items, including production records, correspondence and scripts, is the single largest unindexed collection in the Cinema Library. These primary research materials are unique, and until they are made accessible to researchers and scholars, no definitive history of Universal Studios, or indeed of the film industry as a whole, can be written. The computer-generated index would cross-index these materials by subject, film title and name.

The FY 81 project will strengthen the foremost gerontology research library collection in the nation. This collection meets the information needs of regional, national and international audiences in aging. Many of the library's holdings are unique. Because the priorities of the library's small staff have been direct public services (i.e. literature identification), funds are sought to catalog, index and abstract a backlog of 2500 books and documents and to acquire, catalog, index and abstract an additional 1000 materials determined vital to the continued excellence of the collection. In addition, the project will facilitate an Interlibrary Loan/Document Delivery Service which will facilitate dissemination and utilization of gerontological literature identified and acquired through the library's Computerized Information Service and/or acquisitions program.

ACCOMPLISHMENTS:

1. The Universal Pictures collection, and others like it, contain one-of-a-kind print and non-print primary research materials which document the American film and television industries from their beginnings. In direct response to the increasing scholarly interest in the film making art, this project increases access to the Universal collection via production of separate computer operated film title, subject, and name indexes. It also provides a workable indexing system which can be used to organize

similar collections.

2. The Gerontology project is well under way in FY 81 and should reach its objectives as planned.

Southern Illinois University

THE PROJECT:

The aim of this project is to secure by purchase the papers of the Library of Living Philosophers (LLP), a collection central to the program of Special Collections. In addition, the library plans to arrange and describe that collection and prepare a published guide to all the philosophy manuscript collections currently held by Morris Library, thereby making these resources more accessible to scholars. The intent is also to increase the scholarly access to Special Collections philosophy holdings by microfilming significant portions of the manuscript collections.

The department now holds eighteen carefully selected collections related to philosophy. These comprise, in all, about one million separate pieces. Though primarily American, the collections also include work of prominent European philosophers, a reflection of the international character and breadth of SIU-C's collections. Special Collections is the leading manuscript repository in the United States with Modern Philosophy as a general collecting area.

The proposal to acquire the LLP archives advances a systematic collecting program in modern philosophy by Special Collections which, thus far, has seen four phases. The initial collections were the papers of certain Distinguished Visiting Professors who taught at SIU-C in the 1960s. They include Henry Nelson Wieman, Wayne Leys, George Axtelle, and George F. Counts. The second phase, inspired by a project to edit and publish the writings of John Dewey, saw the acquisition of Dewey's own collection and papers of certain of his disciples and associates. Herbert Schneider, Elsie Ripley Clapp, Sidney Hook, James H. Tufts, and Joseph Ratner belong in this category, as do Axtelle and Leys. The third phase began with the collecting of papers of publishers of philosophical works. Included here are the Open Court Press collection, the Paul Schlipp Papers, and the records of the Christian Century magazine. The latest phase in the collection program reflects the growing stature of Morris Library as a depository for papers of 20th century philosophers with the eminence of Dewey and others.

ACCOMPLISHMENTS:

This two year project, funded for FY 81 with a continuation for FY 82, appears to be moving forward on schedule. The published guide will be a most important resource when completed.

Stanford University

THE PROJECT:

This grant will support the cataloging and input into RLIN of approximately 10,000 individual titles in the microprint set Early American Imprints, Second Series, 1801-1819 produced by Readex Microprint Corporation. Stanford will provide analytics for all titles listed in the period 1801 through 1805 of American Bibliography completed by R. Shaw and R. Shoemaker. Due to the unique resources available there, authority work for many of the access points will be established by a staff member funded by this grant and working at the American Antiquarian Society. Cataloging of these individual titles will provide not only increased access to users within the Stanford University Libraries and other RLIN research libraries but also to OCLC users since all cataloging records created for this set will also be made available to OCLC libraries.

ACCOMPLISHMENTS:

This one year project, funded for FY 81, is moving toward its objectives, although proposed staffing levels needed to meet the stated objectives were underestimated. When completed, this project will add a substantial body of bibliographic information to the national on-line data base.

University of Texas, Austin

THE PROJECTS:

The FY 78 project strengthened the Latin American research resources at The University of Texas at Austin and improved their accessibility to researchers and scholars on a national and international basis. Through an acquisitions phase of the project it is intended to acquire 8,500 volumes of current and retrospective Latin American materials in

support of modern Latin American studies; and through a cataloging phase of the project it is proposed to catalog and enter into the OCLC data base 9,000 recent Latin American acquisitions, including 1,800 serial titles, and convert to machine-readable form existing cataloging records for approximately 7,300 other serial titles. This project will dramatically expand accessibility to these important and difficult-to-locate research materials, making them available to a wide scholarly and library community through the OCLC network, through a new annual Bibliographic Guide to Latin American Studies, and through the National Union Catalog. This sharing of bibliographic data will eliminate much duplicative effort in original cataloging for other research libraries, will make these research materials more readily available for scholarly use, and will be helpful to many libraries in their selection and acquisition of materials. The availability of this cataloging data in machine-readable form will enhance UT Austin's ability to utilize computer-based alternatives to the present card catalog and will facilitate its participation in national networking efforts. This project will be an adjunct to the library's regular and continuing commitment to a strong Latin American cataloging program.

The FY 79 project, bibliographic and holdings information on the 28,000 serial titles held by the Nettie Lee Benson Latin American Collection of The University of Texas at Austin General Libraries will be shared nationally and internationally with other research institutions. Online and offline access to the serials records in this distinguished collection will constitute an important contribution to Latin American and Mexican American studies. Provision of this access entails the completion of cataloging, recataloging and inventory activities already underway, and the conversion of accumulated data to machine readable form. All bibliographic work will be in accord with CONSER and other nationally acceptable standards. Serials information will be available through the OCLC bibliographic network and for possible distribution through a COM or printed serials catalog, all having a future union catalog capability. In an additional acquisitions component the project will assist in strengthening and maintaining this often-unique, major library resource.

The FY 81 project: Important, often unique Mexican periodicals and other Latin American serials, selected from the Benson Latin American Collection because of their vulnerability and their research value, will be preserved through microfilming. Other aspects of the project include the systematic acquisition of publications of state-owned corporations and major private firms, especially in Mexico,

and the cataloging of these items with appropriate dissemination of bibliographic information.

ACCOMPLISHMENTS:

The work of this massive four year inter-related project appears to be moving toward completion on schedule. The results will provide scholars in Latin American and Mexican studies a rich resource, finally under control through a national data base.

University of Utah

THE PROJECT:

The purpose of this project is to provide improved bibliographic access to the Landmarks of Science microform set. The Landmarks of Science includes approximately 25,000 monographs important for research in the history of science; but use of the collection is hampered by the lack of cataloging data in machine readable form for the individual items. We propose to provide, over a two-year period, complete cataloging according to accepted national standards for all the individual items in Landmarks.

We plan to enter all cataloging data into OCLC. By using OCLC's MARC subscription service and its card printing capabilities, we will build a complete file at the University of Utah of these bibliographic records both in machine readable and catalog card format. We will distribute this cataloging data in either format to any non-profit institution for the cost of copying. In this manner, we hope for the widest distribution possible of the bibliographic records.

In the 1980 report on microforms, commissioned by the Association of Research Libraries, more libraries identified the Landmarks of Science as a microform set with high priority for a retrospective conversion project than any other set. The University of Utah Libraries project would provide this bibliographic access in a cost-effective manner. OCLC libraries would have immediate direct availability while other institutions could share our results as indicated above. By reducing the cost of providing adequate bibliographic control, the project might also encourage other libraries to make available to their researchers the Landmarks of Science.

ACCOMPLISHMENTS:

This project was funded for FY 81 with a continuation for FY 82; it appears that the work of the project is moving toward its objectives. The project will provide access to the microform set that was considered in the ARC Microforms Report to be the most in need of better bibliographic control. Wide distribution of the cataloging data will alert history of science researchers around the country to the wealth of source materials in this set.

University of Virginia

THE PROJECT:

The University of Virginia, in cooperation with the University of Alabama, the University of South Carolina, and Vanderbilt University, received a grant to extend the Southeastern Library Network (SOLINET) regional data base and the OCLC data base by a combined shelflist conversion, concentrating on the unique and rare research materials held by these libraries. The stated purpose was to increase the availability of the research holdings of the participating libraries for the regional and national scholarly community and to strengthen the resource sharing capacity of the SOLINET/OCLC network.

The four cooperating libraries are members of the Association of Research Libraries, are located in the southeastern area and are components of major institutions of higher education. At the time work on the grant was initiated, their collections together encompassed approximately six and a half million volumes. They subscribed to 63,896 serial titles. Included in their combined holdings were approximately 540,000 rare books, 25 million manuscript pieces, and 5 million microforms.

ACCOMPLISHMENTS:

This longterm project was funded for only one year, FY 79, which was not sufficient for a project of this scope, however several collections of American literature and southern history were added to OCLC, which will bring basic research materials to the attention of scholars in the field. Among the special problems encountered were that the standards for national bibliographic records do not provide for the level of detail in the description of rare books and unique features of specific copies which are

important for research and that the input of new records is more time consuming than updating by matching existing records, so the level of production for this type of project is not as high as for the average conversion project.

Conversion projects planned for the future should review the work of this project carefully to learn from its experiences.

University of Washington

THE PROJECTS:

In the FY 78 project, the University of Washington Libraries proposes to enter its holdings of currently received serials into the Washington Library Network data base in order to make those holdings more widely accessible to the general public, researchers and scholars in the region and to those United States and world scholars needing access to its unique titles. There is now no quick, direct access to those resources, as existing methods--published bibliographies, book catalogs, and card catalogs--are slow, cumbersome and often inaccurate. Bibliographic and serials holdings information will be entered into the Washington Library Network on-line data base using OCLC data when available. OCLC records will be tagged, indicating titles held, to improve access nation-wide. Once the serials data base is established, other Washington Library Network will be able to add their holdings without inputting cataloging data. The completion of the project will promote interlibrary loan, resource sharing and cooperation and will prepare the Northwest and the Washington Library Network to become a functional part of the National Periodicals System.

The FY 80 project will enter cataloging data on forest resources collections to OCLC and WLN. Among the outstanding collections in the University of Washington Libraries are the Forest Resources and Fisheries-Oceanography collections. Two branch libraries are devoted to materials in these subject areas: support materials in plant sciences, earth sciences, and soil sciences are located in the Fisheries-Oceanography and the Forest Resources Libraries and in the Natural Sciences Library. Taken together these collections admirably sustain the study, teaching, and understanding of our natural resources. Students and researchers from the University of Washington and other academic institutions, environmentalists, small business people and industrialists from all over the world, rely on

these collections to provide the understanding needed for us to use, enjoy and preserve our oceans and forests.

Although these collections are used widely by investigators from around the world, full bibliographic access is available only by visiting the University of Washington. To provide complete, quick, accurate access, we propose to enter into on-line data bases full MARC records and holdings data for 40,000 titles. The titles are all related to forest and marine resources and are located in the Fisheries-Oceanography Library, Forest Resources Library, Natural Sciences Library, Friday Harbor Laboratories Library and the Engineering Library.

The FY 81 projects deal with a major collection of materials documenting the history and culture of Native Americans of the Pacific Northwest. The Native Americans of The Pacific Northwest Collection Enhancement Project consists of three components aimed at making these materials more accessible. As the first component, rare explorer journals will be preserved and indexed for relevant ethnographic material. In the second component Indian-related photographic images will be indexed and a microfiche catalog containing copies of the prints and index will be produced. In the third component archival recordings of Indian languages will be restored, related manuscript material will be analyzed and a guide produced. The project will help preserve this important material, will significantly increase scholarly access by researchers, and will contribute to resource sharing by libraries nationwide.

ACCOMPLISHMENTS:

The serials project and the forest resources project were completed in good order and will both substantially enhance national files of information. The forest resources project will further forest-related research nationally and internationally.

The Native Americans project is well underway and should greatly benefit research in this area when completed.

University of Wisconsin, Madison

THE PROJECT:

To strengthen its library holdings and to make them more widely available, the UW-Madison libraries undertook a two year project with these components:

1. Resources Component: funds to acquire additions to existing collections where interlibrary loan requests have revealed lacunae in areas in which this University has recognized strengths and unique materials.

2. Bibliographic Component: funds to complete approximately one third of the process of adding location symbols to the OCLC on-line union catalog for approximately 48,000 serial titles currently received at UW-Madison--and particularly to add the uniquely held Wisconsin titles to the OCLC/CONSER data base and start them on the processing stream to become authenticated CONSER titles.

In FY 79, a third component was added:

3. Preservation Component: funds to film and otherwise preserve unique and/or outstanding library materials and collections which constitute a national or international scholarly resource and to make it possible to supply copies to the international research community.

In FY 81, a special presentation project was funded to preserve and expand the library's nationally recognized collection of Germanic materials in the Humanities and Social Sciences.

The excellence of Wisconsin's collections in German and Scandinavian studies is a natural result of European immigration to the area. Since its founding, the Library has benefitted from donations from representatives of these immigrant groups: the Germanic Seminary Library of 1,700 items, which formed the basis of the Germanic philology collection, and the large Scandinavian collection donated by Rasmus B. Anderson, first professor of Scandinavian studies at the University of Wisconsin, are two examples among many. The Library has continued to build on these early donations.

ACCOMPLISHMENTS:

The goals of the acquisition and preservation programs were achieved as planned, with the result that national goals are furthered by filling in lacunae of a major research library and by making their serial holdings known through OCLC.

The location symbols for serials were not added to the OCLC/CONSER data base because the size of the project was underestimated.

Yale University

THE PROJECT:

For FY 78 and FY 79, the Yale Library proposes a project for preserving, organizing and making more widely known and available certain portions of the Library's manuscript and sound recording collections. These sections are:

1. Approximately 18,000 linear feet of historical and other manuscripts in the Manuscripts and Archives Department, Sterling Memorial Library;

2. A large number (4,000) of acetate-based tapes and discs, as well as approximately 350 cyclinder recordings (especially wax), representing important sections of the American Musical Theatre Collection, the Historical Sound Recordings general collection, and the mastertapes of the Yale Series of Recorded Poets;

3. and a unique collection of recording manufacturers' catalogs (including European catalogs dating between the two world wars), vital to the work of the Historical Sound Recordings collection and to all scholars doing research in this field.

All the projects suggested by Yale are within a common framework.

A. Preservation

First, the Library intends by these efforts to preserve rare and unique items which, unless treated, would be lost to the scholarly community and to the national heritage. The Manuscripts and Archives project will rescue deteriorating

documents by transferring approximately 6,000 linear feet of manuscripts to acid-free folders or boxes; by photocopying selected documents which are beyond repair or which are printed on paper which will not survive extended use; and by microfilming extensive portions of collections in which the proportion of damaged or badly deteriorating documents is so great that selecting individual documents for preservation would be uneconomical and impractical. This activity will secure for posterity many thousands of unique documents, particularly of the twentieth century, which are central to one of the greatest manuscripts and archives collections in the world.

B. Improvement of Organization

Second, the entire Yale project would result in the improved organization of the collections in question. In Manuscripts and Archives, archivists would re-examine a number of collections: some collections have received only "surface" processing at the time of their initial acquisition and need detailed work; others have been fully processed, but require re-organization of some kind; some collections will require preliminary analysis so that their contents may be entered in the proposed subject guides. In all cases, the project will result in collections organized in a more consistent manner, which will make them that much more convenient to use.

C. Making Collections More Widely Known and Available

Third, and finally, the project proposed by the Yale Library would greatly improve access to the collections involved, not only for the Library's "primary clientele" but for the national scholarly community. The project envisioned by the Manuscripts and Archives Department is in essence the groundwork for a complete and somewhat revolutionary change in the way manuscript materials are accessed. The intent of the project is to undertake an examination of as much of the collection as possible, not only with the previously discussed goals in mind but with the idea of creating a series of subject guides cutting across many manuscript collections. These guides would be in serial form, easily updated, and would be produced in the most economic manner possible.

As a result of FY 80 project manuscript materials and pamphlets and printed ephemera will be made more accessible to students and scholars for the purpose of research. This will be accomplished by improving the level of physical and intellectual control of manuscripts and printed ephemera; by preserving information through photocopying materials

now closed to research or which are in imminent danger of being lost because of their poor condition; and by developing a program for computer cataloging of these collections to researchers through input into the RLG's national data base (RLIN).

The FY 81 projects continued the thrust of earlier activity. The Yale University Library project consists of two related projects: the organization, preservation and automated cataloging of Yale's manuscript collections and its Latin American Collection. Information about both of these collections will be provided by on-line access to the RLIN data base and also by means of printed collection guides.

It is the goal of this project to make Yale's archives, manuscripts, pamphlets and printed ephemera more accessible to students and scholars throughout the country. This is being accomplished in four ways: 1) by improving the level of physical control over manuscripts and preserving information by photocopying materials now closed to research or which are in imminent danger of being lost because of poor physical condition; 2) by defining data elements and developing an exchange format for computer cataloging of these materials; 3) by disseminating information about the research potential of these collections to researchers by contributing to the Research Library Group's national data base (RLIN) and 4) by publishing guides to the Latin American Collection and the Yale Library's manuscript collections.

Since the submission of the original proposal last year, much has happened nationally that has helped to broaden the focus of Yale's proposal. Implicit in the original proposal was the assumption that Yale's project might provide a model for other manuscript and archival repositories. However, news of the grant has aroused national interest and, what was previously only an implicit goal, has become a primary goal on this project. In fine, the focus of the project has been sharpened and the attempt to develop a "model"exchange format for automated cataloging of manuscripts and archives that will have the widest possible application has become the primary goal of the proposed project. Three steps are being taken to promote this goal: 1) participation of the project director in the Society of American Archivists National Information Systems Task Force, which, during the next two years, aims to establish guidelines and perhaps a format for linking the several bibliographic utilities; 2) creation of a broadly representative task force, funded by the National Endowment for the Humanities, which will evaluate the work of the

proposed project and, on the basis of the work of the proposed project, draft a functional requirements document which would be submitted as a general recommendation to the Board of Governors of RLG, and 3) publicize and provide information about the proposed project in order to encourage evaluation and commentary by concerned groups, such as the Manuscripts and Rare Book Conference of the American Library Association, the New England Archivists and the Society of American Archivists.

In order to disseminate information about these collections, we propose to create a data base of bibliographic information and accession or collection abstracts describing the holdings of both Manuscripts and Archives and the Latin American Collection. Using a data management system and building upon Title II-C grant, we plan to input over 1,300 manuscript collection records, with name, data and subject descriptors into an on-line data base. In addition to its use for in-house reference service, this data base will be used to produce printed guides to Yale's Latin American Collection and to the 24,000 linear feet of manuscripts housed in Sterling Library. We have chosen RLIN as our data management system and this data base will be accessible to students and to scholars and the participating members of the Research Libraries Group. However, by creating an independent task force, representing several types of manuscript and archival repositories, to critique our work and make specific recommendations about the necessary requirements for providing access to manuscripts to RLG, we hope that our work will have wide application and form the cornerstone for a national information network.

ACCOMPLISHMENTS:

It appears from the reports the the Yale projects are proceeding as planned; the data base is expected to help mold the way manuscript collections are controlled in the future.

* * * * * * * *

- End FY 78-81 project reports -

APPENDIX B: SCORING INSTRUMENTS

A P P E N D I X B: FY 78 Scoring Sheet

Staff Technical Review Summary Form

13.576 Strengthening Research Library Resources
FY 1978

Name of Applicant	State	PR #

Competitiveness of application:

	COST	TECHNICAL COMPETENCE
Unsatisfactory.	☐	☐
Satisfactory.	☐	☐
Above Average	☐	☐
Outstanding	☐	☐

Technical Evaluation:	Government	Non-Government			Average
Recommended	☐	☐	☐	☐	☐
Not Recommended	☐	☐	☐	☐	☐
Numerical Rating (Maximum Score: 110)	___	___	___	___	___

Staff Recommendation:

Approve ☐ Disapprove ☐

Position on ranked listing _____ Reasons for disapproval:

APPENDIX B: FY 78 Score sheet

APPLICATION TECHNICAL REVIEW FORM

STRENGTHENING RESEARCH LIBRARY RESOURCES

CFDA NUMBER 13.576

PR NUMBER #_____

TITLE OF PROJECT: _____

APPLICANT NAME: _____

ADDRESS: _____

CITY/STATE: _____ ZIP CODE _____

TECHNICAL REVIEWER

Name: _____

_____

_____

Phone: _____

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COMMENTS:

FINAL SCORE: _____

MAXIMUM SCORE: 110

RECOMMENDATION: ☐ Recommended ☐ Not Recommended

Date Reviewed: _____ Signature: _____

FY 78 scoring sheet

QUESTION NUMBER	REQUIRED CRITERIA	MAXIMUM SCORE: INST. OF HIGH. ED.	MAXIMUM SCORE: OTHER INST.	EVALUATOR SCORE
1	SIGNIFICANCE AS A MAJOR RESEARCH LIBRARY (20 POINTS)			
	(1) Library support for major research projects FY 1977.....		10	
	Projects internal and external to institution.....	8		
	Institution of Higher Education; 8--strong support; 4--moderate support; 2--low support; 0--no indication of support			
	(2) a. Institutional expenditure to support research--FY 1977.....	2		
	2--high 1--moderate 0--low or no indication			
	b. Number of projects funded--FY 1977.....	2		
	2--high 1--moderate 0--low or no indication			
	(3) Other evidence of substantial service to researchers/scholars.....	4	10	
	(4) Number of doctoral programs offered--FY 1977.....	2		
	Number of doctoral degrees awarded --FY 1977.....	2		
	2--high 1--moderate 0--low or no indication			
2	BREADTH OF LIBRARY COLLECTION (15 POINTS)			
	(1) Number of subject areas or indication of special collections' comprehensiveness in particular areas			
	6--high 3--moderate 1--low 0--very low, no indication	6		
	(2) Collection size--vols./titles, manuscripts, microforms, other materials			
	6--high 3--moderate 1--low 0--very low, no indication	6		
	(3) Number of current periodical subscriptions			
	3--high 2--moderate 1--low 0--minimal/no indication	3		
3	NATIONAL/INTERNATIONAL SIGNIFICANCE IN SUPPORT OF SCHOLARLY RESEARCH (10 POINTS)			
	(1) Number of interlibrary loan transactions (incl. copies) outside the state			
	1--high 0--low	1		
	(2) Number of interlibrary loan transactions (from (1) above) outside the region			
	2--high 1--moderate 0--low/no indication	2		
	(3) Number of interlibrary loan transactions (from (1) above) outside the U.S.			
	3--high 2--moderate 1--low 0--minimal/no indication	3		
	(4) Number of interlibrary loan transactions (from (1-3) above) made by cooperative arrangement with other states/regions/countries			
	2--high 1--moderate 0--low/no indication	2		
	(5) Other evidence of national/international significance			
	2--substantive 1--moderate 0--minimal/no indication	2		

4	UNIQUENESS OF COLLECTION (10 POINTS)		
	(1) Number of special collections containing unique material 3--high 2--moderate 1--minimal 0--no indication	3	
	(2) Scope/coverage of special collections (from (1) above) 3--high 2--moderate 1--minimal 0--no indication	3	
	(3) Catalogs/guides to special collections: (a) are they available?..... 2--yes 0--no	2	
	(b) are they current/recent?..... 1--yes 0--no	1	
	(c) are they represented in state/regional/national data base?..... 1--yes 0--no	1	
5	DEMAND FOR COLLECTION HOLDINGS BY OUTSIDE SCHOLARS/RESEARCHERS (5 POINTS)		
	(1) Number of institutions with which there are formal cooperative agreements 2--high 1--moderate 0--low/no indication	2	
	(2) Type of institutions with whom agreements (from (1) above) are established 1--research related 0--non-research related	1	
	(3) Does library lend more on interlibrary loans than it borrows? 1--yes 0--no	1	
	(4) What is the extent of loan requests from outside users? 1--high to moderate 1--low/no indication	1	
	NATURE OF PROPOSED PROJECT		
6	SPECIFIC ACTIVITIES/OBJECTIVES OF PROJECT (25 POINTS)		
	Only one criterion from (1) or (2) below need be detailed. If only (1) or (2), score 25 points maximum. If (1) and (2), score 13 points maximum for (1) and 12 points maximum for (2).		
	(1) Does project maintain/strengthen general and/or one or more existing special collections used for national/international scholarly research?	(1) or (2) 25	
	and/or		
	(2) Does project increase availability of research holdings to other libraries for wider use by researchers/scholars? Note: In applying this criterion, consideration must be given to: (a) the potential for increasing availability of research holdings with national/international significance for scholarly research; (b) the potential for strengthening networking/resource sharing capacity.	(1) & (2) 13 12	
	Ranking Indications: (a) very strong (b) moderately strong (c) minimally strong (d) very weak or no indication		

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FY 78 Scoring Sheet

7	INSTITUTIONAL COMMITMENT (5 POINTS)		
	Indication of institutional commitment/capability to continue/build project beyond Federal funding period. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
8	SOUNDNESS OF PROPOSED PLAN (5 POINTS)		
	Indications that the objectives are sharply defined, clearly stated, capable of being measured, capable of being attained. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
9	COSTS (5 POINTS)		
	Indications that costs are reasonable in relation to anticipated results. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
10	PROJECT STAFF (5 POINTS)		
	Indications that the proposed staff are qualified, with suitable backgrounds appropriate to the proposed project. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
11	NATURE OF PROJECT ACTIVITIES/EXPENDITURES (5 POINTS)		
	(1) Indications that proposed activities are new and innovative. OR (2) Indications that proposed activities are designed to supplement/expand upon existing activities/expenditures. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
	TOTAL SCORE	110	

SUMMARY:

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A P P E N D I X B: FY 79 Scoring Sheet

Staff Technical Review Summary Form

13.576 Strengthening Research Library Resources
FY 197[illegible]

Name of Applicant	State	PR #

Competitiveness of application:

	COST	TECHNICAL COMPETENCE
Unsatisfactory.	☐	☐
Satisfactory.	☐	☐
Above Average	☐	☐
Outstanding	☐	☐

Technical Evaluation:	Government	Non-Government			Average
Highly Recommended	☐	☐	☐	☐	☐
Recommended	☐	☐	☐	☐	☐
Not Recommended	☐	☐	☐	☐	☐
Numerical Rating (Maximum Score: 110)	___	___	___	___	___

Staff Recommendation:

Approve ☐ Disapprove ☐

Position on ranked listing _____ Reasons for disapproval:

APPENDIX B: FY 79

SUMMARY EVALUATION SHEET

STRENGTHENING RESEARCH LIBRARY RESOURCES

PR #_____

APPLICANT NAME: _____

Final consensus score: _____

Final consensus recommendation:

☐ Highly recommended

☐ Recommended

☐ Not recommended

Additional comments:

Signatures:

Reviewer #1_____

Reviewer #2_____

Reviewer #3_____

Date: _____

APPENDIX B: FY 79

APPLICATION TECHNICAL REVIEW FORM

STRENGTHENING RESEARCH LIBRARY RESOURCES

CFDA NUMBER 13.576

PR NUMBER #_____

TITLE OF PROJECT: _____

APPLICANT NAME: _____

ADDRESS: _____

CITY/STATE: _____ ZIP CODE _____

TECHNICAL REVIEWER

Name: _____

_____

_____

Phone: _____

229

COMMENTS:

FINAL SCORE: _____

MAXIMUM SCORE: 110

RECOMMENDATION: ☐ Highly Recommended ☐ Recommended ☐ Not Recommended

Date Reviewed: _____ Signature: _____

QUESTION NUMBER	REQUIRED CRITERIA	MAXIMUM SCORE		EVALUATOR SCORE
		INST. OF HIGH. ED.	OTHER INST.	
1	SIGNIFICANCE AS A MAJOR RESEARCH LIBRARY (20 POINTS)			
	(1) Library support for major research projects FY 1978		10	
	Projects internal and external to institution.....	8		
	Institution of Higher Education; 8--strong support; 4--moderate support; 2--low support; 0--no indication of support			
	(2) a. Institutional expenditure to support research--FY 1978.....	2		
	2--high 1--moderate 0--low or no indication			
	b. Number of projects funded--FY 1978	2		
	2--high 1--moderate 0--low or no indication			
	(3) Other evidence of substantial service to researchers/scholars.....	4	10	
	(4) Number of doctoral programs offered--FY 1978	2		
	Number of doctoral degrees awarded --FY 1978	2		
	2--high 1--moderate 0--low or no indication			
2	BREADTH OF LIBRARY COLLECTION (15 POINTS)			
	(1) Number of subject areas or indication of special collections' comprehensiveness in particular areas			
	6--high 3--moderate 1--low 0--very low, no indication	6		
	(2) Collection size--vols./titles, manuscripts, microforms, other materials			
	6--high 3--moderate 1--low 0--very low, no indication	6		
	(3) Number of current periodical subscriptions			
	3--high 2--moderate 1--low 0--minimal/no indication	3		
3	NATIONAL/INTERNATIONAL SIGNIFICANCE IN SUPPORT OF SCHOLARLY RESEARCH (10 POINTS)			
	(1) Number of interlibrary loan transactions (incl. copies) outside the state			
	1--high 0--low	1		
	(2) Number of interlibrary loan transactions (from (1) above) outside the region			
	2--high 1--moderate 0--low/no indication	2		
	(3) Number of interlibrary loan transactions (from (1) above) outside the U.S.			
	3--high 2--moderate 1--low 0--minimal/no indication	3		
	(4) Number of interlibrary loan transactions (from (1-3) above) made by cooperative arrangement with other states/regions/countries			
	2--high 1--moderate 0--low/no indication	2		
	(5) Other evidence of national/international significance			
	2--substantive 1--moderate 0--minimal/no indication	2		

4	UNIQUENESS OF COLLECTION (10 POINTS)		
	(1) Number and nature of special collections containing research materials not widely available 6--high 4--moderate 2--minimal 0--no indication	6	
	(2) Availability of printed or otherwise published catalogs or other guides to the special collections. Consideration should be given to recency and representation in state/regional/national data base. 4--very high 3--high 2--moderate 1--minimal 0--no indication	4	
5	DEMAND FOR COLLECTION HOLDINGS BY OUTSIDE SCHOLARS/RESEARCHERS (5 POINTS)		
	(1) Number of institutions with which there are formal cooperative agreements 2--high 1--moderate 0--low/no indication	2	
	(2) Type of institutions with whom agreements (from (1) above) are established 1--research related 0--non-research related	1	
	(3) Does library lend more on interlibrary loans than it borrows? 1--yes 0--no	1	
	(4) What is the extent of loan requests from outside users? 1--high to moderate 1--low/no indication	1	
	NATURE OF PROPOSED PROJECT		
6	SPECIFIC ACTIVITIES/OBJECTIVES OF PROJECT (25 POINTS)		
	(1) Does the project help the applicant to maintain and strengthen its library collections, with particular regard to whether the project builds upon one or more existing special collections of the applicant which have national or international significance for scholarly research? and/or (2) Does the project make the applicant's research holdings available to other libraries for wider use by researchers and scholars? In applying this factor, consideration will be given to: (a) The extent to which the project is designed to increase the availability of existing collections of the applicant which have national or international significance for scholarly research; and (b) The extent to which the project will strengthen the applicant's capacity for participating in library networks and other cooperative library arrangements for sharing of library resources. Ranking Indications: (a) very strong (b) moderately strong (c) minimally strong (d) very weak or no indication	25	

7	NATURE OF PROJECT ACTIVITIES/EXPENDITURES (5 POINTS)		
	(1) Indications that proposed activities are new and innovative. OR (2) Indications that proposed activities are designed to supplement/expand upon existing activities/expenditures. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
8	SOUNDNESS OF PROPOSED PLAN (5 POINTS)		
	Indications that the objectives are sharply defined, clearly stated, capable of being measured, capable of being attained. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
9	COSTS (5 POINTS)		
	Indications that costs are reasonable in relation to anticipated results. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
10	PROJECT STAFF (5 POINTS)		
	Indications that the proposed staff are qualifed, with suitable backgrounds appropriate to the proposed project. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
11	INSTITUTIONAL COMMITMENT (5 POINTS)		
	Indication of institutional commitment/capability to continue/build project beyond Federal funding period. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
	TOTAL SCORE	110	

SUMMARY:

A P P E N D I X B: Scoring Sheets FY 80

Staff Technical Review Summary Form

13.576 - Strengthening Research Library Resources
Title II-C HEA

Name of Applicant	State	PR #

Competitiveness of application:

	COST	TECHNICAL COMPETENCE
Unsatisfactory.	☐	☐
Satisfactory.	☐	☐
Above Average	☐	☐
Outstanding	☐	☐

Technical Evaluation:	Government	Non-Government			Average
Recommended	☐	☐	☐	☐	☐
Not Recommended	☐	☐	☐	☐	☐
Numerical Rating (Maximum Score: 110)	___	___	___	___	___

Staff Recommendation:

Approve ☐ Disapprove ☐

Position on ranked listing _____ Reasons for disapproval:

EVALUATION SUMMARY

Question Number	Maximum Score	Score Received
1	20	____
2	15	____
3	10	____
4	10	____
5	5	____
6	25	____
7	5	____
8	5	____
9	5	____
10	5	____
11	5	____
TOTAL SCORE	110	____

APPLICATION TECHNICAL REVIEW FORM

STRENGTHENING RESEARCH LIBRARY RESOURCES

CFDA NUMBER 13.576

PR NUMBER #_____

TITLE OF PROJECT: _____

APPLICANT NAME: _____

ADDRESS: _____

CITY/STATE: _____ ZIP CODE _____

TECHNICAL REVIEWER

Name: _____

_____

_____

Phone: _____

COMMENTS:

FINAL SCORE: _____

MAXIMUM SCORE: 110

RECOMMENDATION: ☐ Recommended ☐ Not Recommended

Date Reviewed: _____ Signature: _____

APPENDIX B: FY 80

QUESTION NUMBER	REQUIRED CRITERIA	MAXIMUM SCORE: INST. OF HIGH. ED.	MAXIMUM SCORE: OTHER INST.	EVALUATOR SCORE
1	SIGNIFICANCE AS A MAJOR RESEARCH LIBRARY (20 POINTS)			
	(1) Library support for major research projects FY 1979		10	
	Projects internal and external to institution.....	8		
	Institution of Higher Education; 8--strong support; 4--moderate support; 2--low support; 0--no indication of support			
	(2) a. Institutional expenditure to support research--FY 1979	2		
	2--high 1--moderate 0--low or no indicat on			
	b. Number of projects funded--FY 1979	2		
	2--high 1--moderate 0--low or no indicat on			
	(3) Other evidence of substantial service to researchers/scholars.....	4	10	
	(4) Number of doctoral programs offered--FY 1979	2		
	Number of doctoral degrees awarded --FY 1979	2		
	2--high 1--moderate 0--low or no indicat on			
2	BREADTH OF LIBRARY COLLECTION (15 POINTS)			
	(1) Number of subject areas or indication of special collections' comprehensiveness in particular areas 6--high 3--moderate 1--low 0--very low, no indication	6		
	(2) Collection size--vols./titles, manuscripts, microforms, other materials 6--high 3--moderate 1--low 0--very low, no indication	6		
	(3) Number of current periodical subscriptions 3--high 2--moderate 1--low 0--minimal, no indication	3		
3	NATIONAL/INTERNATIONAL SIGNIFICANCE IN SUPPORT OF SCHOLARLY RESEARCH (10 POINTS)			
	(1) Number of interlibrary loan transactions (incl. copies) outside the state 1--high 0--low	1		
	(2) Number of interlibrary loan transactions (from (1) above) outside the region 2--high 1--moderate 0--low/no indication	2		
	(3) Number of interlibrary loan transactions (from (1) above) outside the U.S. 3--high 2--moderate 1--low 0--minimal, no indication	3		
	(4) Number of interlibrary loan transactions (from (1-3) above) made by cooperative arrangement with other states/regions/countries 2--high 1--moderate 0--low/no indication	2		
	(5) Other evidence of national/international significance 2--substantive 1--moderate 0--minimal/no indication	2		

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4	UNIQUENESS OF COLLECTION (10 POINTS)		
	(1) Number and nature of special collections containing research materials not widely available 6--high 4--moderate 2--minimal 0--no indication	6	
	(2) Availability of printed or otherwise published catalogs or other guides to the special collections. Consideration should be given to recency and representation in state/regional/national data base. 4--very high 3--high 2--moderate 1--minimal 0--no indication	4	
5	DEMAND FOR COLLECTION HOLDINGS BY OUTSIDE SCHOLARS/RESEARCHERS (5 POINTS)		
	(1) Number of institutions with which there are formal cooperative agreements 2--high 1--moderate 0--low/no indication	2	
	(2) Type of institutions with whom agreements (from (1) above) are established 1--research related 0--non-research related	1	
	(3) Does library lend more on interlibrary loans than it borrows? 1--yes 0--no	1	
	(4) What is the extent of loan requests from outside users? 1--high to moderate 0--low/no indication	1	
	NATURE OF PROPOSED PROJECT		
6	SPECIFIC ACTIVITIES/OBJECTIVES OF PROJECT (25 POINTS)		
	(1) Does the project help the applicant to maintain and strengthen its library collections, with particular regard to whether the project builds upon one or more existing special collections of the applicant which have national or international significance for scholarly research? and/or (2) Does the project make the applicant's research holdings available to other libraries for wider use by researchers and scholars? In applying this factor, consideration will be given to: (a) The extent to which the project is designed to increase the availability of existing collections of the applicant which have national or international significance for scholarly research; and (b) The extent to which the project will strengthen the applicant's capacity for participating in library networks and other cooperative library arrangements for sharing of library resources. Ranking Indications: (a) very strong (b) moderately strong (c) minimally strong (d) very weak or no indication	25	

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7	NATURE OF PROJECT ACTIVITIES/EXPENDITURES (5 POINTS)		
APPENDIX B FY 80	(1) Indications that proposed activities are new and innovative. OR (2) Indications that proposed activities are designed to supplement/expand upon existing activities/expenditures. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
8	SOUNDNESS OF PROPOSED PLAN (5 POINTS)		
	Indications that the objectives are sharply defined, clearly stated, capable of being measured, capable of being attained. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
9	COSTS (5 POINTS)		
	Indications that costs are reasonable in relation to anticipated results. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
10	PROJECT STAFF (5 POINTS)		
	Indications that the proposed staff are qualifed, with suitable backgrounds appropriate to the proposed project. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
11	INSTITUTIONAL COMMITMENT (5 POINTS)		
	Indication of institutional commitment/capability to continue/build project beyond Federal funding period. 5--very strong 3--moderately strong 1--minimally strong 0--very weak or no indication	5	
		TOTAL SCORE 110	

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SUMMARY:

A P P E N D I X B: Scoring Sheets FY 81

Staff Technical Review Summary Form

84.091 - Strengthening Research Library Resources
Title II-C HEA

Name of Applicant	State	PR #

Competitiveness of application:

	COST	TECHNICAL COMPETENCE
Unsatisfactory.	☐	☐
Satisfactory.	☐	☐
Above Average	☐	☐
Outstanding	☐	☐

Technical Evaluation:	Government	Non-Government			Average
Recommended	☐	☐	☐	☐	☐
Not Recommended	☐	☐	☐	☐	☐
Numerical Rating (Maximum Score: 110)	___	___	___	___	___

Staff Recommendation:

Approve ☐ Disapprove ☐

Position on ranked listing _____ Reasons for disapproval:

APPENDIX B: FY 81

APPLICATION TECHNICAL REVIEW FORM

STRENGTHENING RESEARCH LIBRARY RESOURCES

CFDA NUMBER 84.091

PR NUMBER #_____

TITLE OF PROJECT: _____

APPLICANT NAME: _____

ADDRESS: _____

CITY/STATE: _____ ZIP CODE _____

TECHNICAL REVIEWER

Name: _____

_____

_____

Phone: _____

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COMMENTS:

FINAL SCORE: _____

MAXIMUM SCORE: 110

RECOMMENDATION: ☐ Recommended ☐ Not Recommended

Date Reviewed: _____ Signature: _____

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QUESTION NUMBER	REQUIRED CRITERIA	MAXIMUM SCORE		EVALUATOR SCORE
		INST. OF HIGH. ED.	OTHER INST.	
1	SIGNIFICANCE AS A MAJOR RESEARCH LIBRARY (16 POINTS)			
APPENDIX B: FY 81	(1) Library support for major research projects FY 1980..... Projects internal and external to institution..... Institution of Higher Education; 5--strong support; 3--moderate support; 1--low support; 0--no indication of support	5	8	
	(2) a. Institutional expenditure to support research--FY 1980..... 2--high 1--moderate 0--low or no indication	2		
	b. Number of projects funded--FY 1980..... 2--high 1--moderate 0--low or no indication	2		
	(3) Other evidence of substantial service to researchers/scholars.....	3	8	
	(4) Number of doctoral programs offered--FY 1980 ..... Number of doctoral degrees awarded --FY 1980..... 2--high 1--moderate 0--low or no indication	2 2		
2	BREADTH OF LIBRARY COLLECTION (12 POINTS)			
	(1) Number of subject areas or indication of special collections' comprehensiveness in particular areas 5--high 3--moderate 1--low 0--very low, no indication	5		
	(2) Collection size--vols./titles, manuscripts, microforms, other materials 5--high 3--moderate 1--low 0--very low, no indication	5		
	(3) Number of current periodical subscriptions 2--high 1--moderate 0--minimal/no indication	2		
3	NATIONAL/INTERNATIONAL SIGNIFICANCE IN SUPPORT OF SCHOLARLY RESEARCH IN FY 80 (8 POINTS)			
	(1) Number of interlibrary loan transactions (incl. copies) outside the state 1--high 0--low	1		
	(2) Number of interlibrary loan transactions (from (1) above) outside the region 2--high 1--moderate 0--low/no indication	2		
	(3) Number of interlibrary loan transactions (from (1) above) outside the U.S. 3--high 2--moderate 1--low 0--minimal/no indication	3		
	(4) Number of interlibrary loan transactions (from (1-3) above) made by cooperative arrangement with other states/regions/countries 1--high 0--low/no indication	1		
	(5) Other evidence of national/international significance 1--substantive 0--minimal/no indication	1		

APPENDIX B:
FY 81

4	UNIQUENESS OF COLLECTION (8 POINTS)		
	(1) Number and nature of special collections containing research materials not widely available 5--high 3--moderate 1--minimal 0--no indication	5	
	(2) Availability of printed or otherwise published catalogs or other guides to the special collections. 3--high 2--moderate 1--minimal 0--no indication	3	
5	DEMAND FOR COLLECTION HOLDINGS BY OUTSIDE SCHOLARS/RESEARCHERS (4 POINTS)		
	(1) Number of institutions with which there are formal cooperative agreements 1-- high 0--low/no indication	1	
	(2) Type of institutions with whom agreements (from (1) above) are established 1--research related 0--non-research related	1	
	(3) Does library lend more on interlibrary loans than it borrows? 1--yes 0--no	1	
	(4) What is the extent of loan requests from outside users? 1--high to moderate 0--low/no indication	1	
	NATURE OF PROPOSED PROJECT		
6	SPECIFIC ACTIVITIES/OBJECTIVES OF PROJECT (20 POINTS)		
	(1) Does the project help the applicant to maintain and strengthen its library collections, with particular regard to whether the project builds upon one or more existing special collections of the applicant which have national or international significance for scholarly research? and/or (2) Does the project make the applicant's research holdings available to other libraries for wider use by researchers and scholars? In applying this factor, consideration will be given to: (a) The extent to which the project is designed to increase the availability of existing collections of the applicant which have national or international significance for scholarly research; and (b) The extent to which the project will strengthen the applicant's capacity for participating in library networks and other cooperative library arrangements for sharing of library resources. Ranking Indications: (a) very strong (b) moderately strong (c) minimally strong (d) very weak or no indication	20	

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APPENDIX B: FY 81

7	INSTITUTIONAL COMMITMENT (4 points)		
	Indication of institutional commitment/capability to continue and build the project beyond Federal funding period. 4--very strong 2--moderate 1--minimal 0--no indication	4	
8	NATURE OF PROJECT ACTIVITIES/EXPENDITURES (4 points)		
	(1) Indications that proposed activities are new and innovative. OR (2) Indications that proposed activities are designed to supplement/expand upon existing activities/expenditures. 4--very strong 2--moderate 1--minimal 0--no indication	4	
9	SOUNDNESS OR PROPOSED PLAN (11 points)		
	(1) Indications of high quality in the design of the project. 5--very strong 3--moderate 1--minimal 0--no indication	5	
	(2) Indications of an effective plan of management. 1--strong to moderate 0--minimal/no indication	1	
	(3) Indications of how objectives of the project relate to the purpose of the program. 3--strong 2--moderate 1--minimal 0--no indication	3	
	(4) Indications of how the applicant will use its resources and personnel to achieve each objective. 1--strong to moderate 0--minimal/no indication	1	
	(5) Indications of how the applicant will provide equal access and treatment for eligible project participants that have been traditionally under-represented. 1--strong to moderate 0--minimal/no indication	1	

10	QUALITY OF KEY PERSONNEL (8 points)		
	(1) Indications that the proposed staff are qualified considering past experience and training in fields related to objectives of the project. 4--very strong 2--moderate 1--minimal 0--no indication	4	
	(2) Indications of the time each staff member will commit to the project. 2--high 1--moderate 0--minimal/no indication	2	
	(3) Indication that the applicant encourages applications for employment from persons who are members of traditionally underrepresented groups. 2--high 1--moderate 0--minimal/no indication	2	
11	BUDGET AND COST EFFECTIVENESS (6 points)		
	(1) Indications that costs are reasonable in relation to project objectives. 4--very strong 2--moderate 1--minimal 0--no indication	4	
	(2) Indications that the budget is adequate to support project activities. 2--strong 1--moderate 0--no indication	2	
12	EVALUATION PLAN (6 points)		
	(1) Indications of the quality of the evaluation plan for the project. 4--very strong 2--moderate 1--minimal 0--no indication	4	
	(2) Indications that methods of evaluation are appropriate for the project and to the extent possible, are objective and produce data that are quantifiable. 2--strong 1--moderate 0--minimal/no indication	2	
13	ADEQUACY OF RESOURCES (3 points)		
	(1) Indications that the applicant plans to devote adequate facilities, equipment and supplies to the project. 3--strong 2--moderate 1--minimal 0--no indication	3	

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APPENDIX C: HIGHEST RANKED SCORES

APPENDIX

C. Highest Ranked Scores, FY 79

FR # 5764A#9	NAME OF APPLICANT	REGION	TEAM	AMOUNT REQUESTED	AVERAGE SCORES	ADJUSTED SCORES	ADJUSTED SCORES	AMOUNT RECOMMENDED
0052	Cornell	2	D	194,897	106 HR			194,897
0069	Univ. of Chicago	6	E	330,772	105 HR			69,000
0011	Harvard	1	B	385,965	105 HR	120 HR		300,000
0010	Am Museum of Nat. Hist.	2	G	242,165	103 HR			242,165
0073	Univ. of Michigan	5	D	617,907	101 R			351,438
0045	Univ. of Texas, Austin	7	D	250,000	101 R	116 R		150,000
0022	NY Public Library	2	B	691,000	99 HR			300,000
0027	Northwestern	6	B	271,840	99 HR			250,000
0033	U. of Wis., Madison	6	F	359,864	99 HR			182,000
0021	Columbia Univ.	2	A	648,623	97 HR			250,000
0064	Rutgers Univ.	3	F	440,116	97 HR		117 HR	200,000
0019	U.N.C., Chapel Hill	4	A	220,515	96 HR		111 HR	220,500
0041	Univ. of Virginia	4	E	498,705	95 R		110 R	300,000
0059	Univ. of Illinois	6	C	217,292	93 R			0
0016	Duke University	4	A	350,000	93 R		108 R	0
0039	U. of Sou. Calif.	10	E	202,152	93 HR			200,000
0086	Boston Public Library	1	I	373,426	93 HR			150,000
0017	Univ. of Washington	9	H	231,400	93 R-	108 R-		0
0084	Ohio State Univ.	5	F	278,392	92 HR			0
0030	Univ. of Penna.	3	H	231,600	92 R-		107 R-	0
0035	New York Univ.	2	C	262,713	91 HR			0
0015	Univ. of Iowa	6	F	111,612	90 R-			0
0048	John Crerar Library	6	D	253,728	88 R			0
0014	Newberry Library	6	C	362,885	88 R			0
0036	Brown Univ.	1	H	337,410	87 R	102 R		0
0012	Univ. of Minnesota	5	B	321,562	85 R			0
0004	U. of Cal., San Diego	10	G	160,101	84 HR			0
0065	Univ. of Kansas	5	B	321,732	83 HR	98 HR		115,000
0056	Univ. of Alaska	9	G	255,365	82 HR-	97 HR-		150,000
0060	Univ. of Florida	4	C	294,082	82 R			0
0080	Univ. of Utah	8	E	335,525	82 R+	97 R+		0
007-	Emory Univ.	4	H	269,253	81 R			0
0031	Univ. of Kentucky	4	G	470,640	80 HR			0
0068	Penn. State Univ.	3	H	260,162	80 HR		95 HR	0
0083	Pierpont Morgan Lib.	2	F	49,009	79 R			0
0088	Univ. of Hawaii	10	E	204,619	78 HR			0
0018	Univ. of Pittsburgh	3	C	121,253	78 HR			0
0026	Art Inst. of Chicago	6	F	327,948	77 R			0
0082	Louisiana State Lib.	7	A	317,000	77 HR	92 HR		0
0023	U. of OK - Health Sci.	7	F	115,672	76 R	91 R		0
0081	Boston University	1	G	344,760	75 HR	90 HR		0
0043	Univ. of Notre Dame	5	H	120,295	75 R			0
0040	Univ. of Missouri	6	F	320,800	74 R			0
0050	U. of Wis., Milwaukee	6	H	557,885	74 HR			0
0055	Univ. of Arizona	7	H	211,114	73 R			0
0005	Iowa State Univ.	6	B	73,320	73 NR			0
0047	Mass. Hist. Soc.	1	F	100,100	71 NR			0
0061	Utah State Univ.	8	E	230,526	71 R	86 R		0
0008	Folger Library	3	C	252,913	68 NR			0
0066	U. of OK - Res. & Ac.	7	B	268,950	68 NR			0
0070	Texas A & M Univ.	7	D	234,233	67 NR			0
0057	Indiana Univ., Sex. Res.	5	F	306,069	65 R			0
0049	Cleveland Pub. Library	5	A	259,834	64 NR			0
0071	Franklin Institute	3	C	195,530	63 NR			0
0072	NJ Dept. of Education	3	G	240,631	62 R			0
0058	Univ. of Oregon	9	C	258,956	61 NR	76 NR		0
0067	Brooklyn Public Lib.	2	A	199,702	59 NR			0
0029	Southern Ill. Univ.	6	D	173,702	59 NR			0
0062	Washington State Univ.	9	G	78,361	56 NR			0
0042	Bryn Mawr College	3	E	342,886	55 NR			0
0024	Acad. of Natur. Sci.	3	E	86,402	54 NR			0
0025	Amistad Res. Center	7	E	166,627	5- NR			0
0051	Amer. Antiq. Soc.	1	A	129,259	50 NR			0
0077	Field Mus. of Nat. His.	6	B	189,120	49 NR			0
0089	Okla. State Univ.	7	G	49,671	49 NR			0
0006	Univ. of P.R.	2	B	280,767	46 NR			0
0075	Univ. of New Mexico	7	C	562,251	44 NR			0
0001	Howard Univ.	3	G	292,104	43 NR			0
0020	Milwaukee Pub. Lib.	6	A	252,076	40 NR			0
0002	Pub. Lib. of Cinci.	5	G	17,500	36 NR			0
0046	Eastern Wash. Univ.	9	A	6,292	33 NR			0
0044	Chicago Pub. Lib.	6	F	127,500	32 NR			0
0079	Montana College	8	H	250,000	29 NR			0
0009	St. Lib. of Penna.	3	D	91,852	23 NR			0
0087	Univ. Boricua	3	E	71,344	19 NR			0
0003	Suomi College	5	D	96,692	11 NR			0
0053	Nat. Ctr. St. Courts	4	D	160,778	7 NR			0
0007	Passaic River Coal.	3	D	82,037	6 NR			0
0063	San Fran. Mus. of Art	10	E	156,525	0 NR			0

A P P E N D I X

C. Highest Ranked Scores, FY 80

Raw Score Rank Order Listing of "New Starts" -- $1,904,742 available

PR #	Institution	Region	Amt. Requested	Score
63	Univ. of Chicago	6	$250,000	106R
10	Harvard	1	$396,657	105R
57	Univ. of Illinois	6	$119,075	104R
41	Yale	1	$321,155	103R
46	Brown	1	$327,853	103R
67	Univ. of Wisconsin-Mad.	6	$367,107	101R
31	Northwestern	6	$ 97,022	99R
1	Columbia	2	$437,266	99R
54	Univ. of Washington	9	$260,620	98R
16	NYPL	2	$460,000	98R
6	Univ. of Arizona	7	$207,520	97R
42	NYU	2	$232,136	97R
8	Duke	4	$350,000	97R
13	Univ. of California-SD	10	$187,924	96R
28	Univ. of So. Cal.	10	$115,000	95R
39	Univ. of Hawaii	10	$252,881	95R
44	Univ. of California-Da	10	$ 72,960	94R
15	Univ. of Pennsylvania	3	$330,957	93R
66	Univ. of Iowa	6	$112,433	93R
25	Indiana Univ.	5	$338,496	91R
35	Boston Public Library	1	$280,000	90R
69	Rutgers	3	$450,975	90R

* Red line indicates point at which available funds are exhausted.

A P P E N D I X

C. Highest Ranked Scores, FY 81

Rank Order Listing of Most Highly Rated Projects

Institution	Geographic Region	Amount Recommended	Numerical Score
Center for Research Libraries	6	$129,944	104
University of Washington	9	175,000	103
University of North Carolina/ Chapel Hill	4	270,000	103
University of Texas/Austin	7	163,711	100
Harvard University	1	167,747	99
Brown University	1	161,490	99
Iowa State University	6	127,525	98
Indiana University	5	142,421	97
University of South Carolina	4	177,279	97
Ohio State University	5	179,171	96
Yale University	1	188,181	96
New York Public Library	2	662,816	95
Boston Public Library	1	162,069	94
University of Illinois/Urbana	6	125,897	94
Cleveland Public Library	5	80,438	93
American Museum of Natural History	2	174,541	93
University of Wisconsin/Madison	6	143,000	92
Dartmouth College	1	150,000	92
Stanford University	10	209,013	91
Southern Illinois University	6	180,000	91
University of Hawaii	10	150,000	91
University of Southern California	10	129,990	91
University of California/Los Angeles	10	280,880	88
Newberry Library	6	133,000	88
University of Chicago	6	259,400	87
American Antiquarian Society	1	187,881	85
University of Florida	4	928,944	84
Academy of Natural Sciences	3	43,680	84
University of Utah	8	112,620	83
University of Houston	7	166,358	82
Chicago Public Library	6	241,533	81
Missouri Botanical Garden	6	309,798	81
University of Nebraska/Lincoln	8	176,441	79

—Red line indicates point at which available funds are exhausted.

APPENDIX D: DETAILED PROJECT BUDGETS

OBS	ID	TYPE	YEAR	NAME	NJNT	DESCRIPT	PERSFRIN	TREQSUP	CONTROTH	INDIRECT	TOTAL
1	011	B	81	ACAD OF NATURAL SCIENCES		RETRO CONVERSION TO OCLC	16822	9450	9430	7978	43680
2				U OF ALABAMA			.	.	.	.	.
3	031	P	79	U OF ALASKA		ALASKAN POLAR	52364	9031	49750	0	111145
4	032	B	79	U OF ALASKA		ALASKAN POLAR TO WLN	.	1000	37855	0	38855
5	041	B	78	AMER MUSEUM NATURAL HISTORY		RECATALOG SERIALS CONSER	36000	1000	20000	22400	79400
6	042	A	78	AMER MUSEUM NATURAL HISTORY		ACQUIRE SCIENCE MONOGRAPHS	45000	1700	95900	28000	170600
7	042	A	79	AMER MUSEUM NATURAL HISTORY		ACQUIRE SCIENCE MONOGRAPHS	26750	1250	75000	14980	117980
8	042	A	80	AMER MUSEUM NATURAL HISTORY		ACQUIRE SCIENCE MONOGRAPHS	29063	1500	75000	16275	121838
9	043	B	79	AMER MUSEUM NATURAL HISTORY		ENTER SHELFLIST TO OCLC	53500	1250	39475	29960	124185
10	043	B	80	AMER MUSEUM NATURAL HISTORY		ENTER SHELFLIST TO OCLC	55965	1500	28799	32011	118275
11	044	BP	81	AMER MUSEUM NATURAL HISTORY		PHOTO COLLECTION CATALOG	66688	31500	8338	40013	166539
12	051	AB	80	U OF ARIZONA		ARID LANDS	79148	2640	86727	34034	202549
13	052	B	81	U OF ARIZONA		ARID LANDS TO OCLC	91441	.	54025	39319	184785
14	061	A	78	ART INSTITUTE OF CHICAGO		LIMITED ART EDITIONS	6300	4100	95000	0	105400
15	062	P	78	ART INSTITUTE OF CHICAGO		PLAN OF CHICAGO	.	600	57200	0	57800
16	071	B	78	BOSTON PUBLIC LIBRARY		PHOTODUPLICATE CATALOG	175740	.	62500	0	238240
17	071	B	79	BOSTON PUBLIC LIBRARY		PHOTODUPLICATE CATALOG	150000	.	.	0	150000
18	072	P	81	BOSTON PUBLIC LIBRARY		ADAMS DEFOE PRINCE	95700	66369	25000	0	187069
19	081	B	80	BROWN U		J.C.BROWN RARE BOOKS TO RLIN	129627	9668	11608	0	150903
20	081	B	81	BROWN U		J.C.BROWN RARE BOOKS TO RLIN	114501	.	13813	0	128314
21	082	AB	80	BROWN U		HARRIS COLLECTION	22807	500	32000	0	55307
22	083	B	80	BROWN U		SHEET MUSIC	51655	4834	9772	0	66261
23	083	B	81	BROWN U		SHEET MUSIC	35236	.	1450	0	36686
24	091	B	78	U CALIFORNIA BERKELEY	U CA BERKELEY	SERIALS CONSER TO RLIN	173240	27800	27522	0	228562
25	091	B	78	U CALIFORNIA BERKELEY	U CA LA	SERIALS CONSER TO RLIN	164484	33520	19798	0	217802
26	091	B	78	U CALIFORNIA BERKELEY	STANFORD	SERIALS CONSER TO RLIN	167089	22547	39000	0	228636
27	091	B	79	U CALIFORNIA BERKELEY	U CA BERKELEY	SERIALS CONSER TO RLIN	192785	1515	25700	0	220000
28	091	B	79	U CALIFORNIA BERKELEY	U CA LA	SERIALS CONSER TO RLIN	234482	4000	16518	0	255000
29	091	B	79	U CALIFORNIA BERKELEY	STANFORD	SERIALS CONSER TO RLIN	185074	31550	58376	0	275000
30	091	B	80	U CALIFORNIA BERKELEY	U CA BERKELEY	SERIALS CONSER TO RLIN	223500	5213	45000	0	273713
31	091	B	80	U CALIFORNIA BERKELEY	U CA LA	SERIALS CONSER TO RLIN	331056	9000	16500	0	356556
32	091	B	80	U CALIFORNIA BERKELEY	STANFORD	SERIALS CONSER TO RLIN	270026	15406	80080	0	365512
33				U CALIFORNIA LOS ANGELES			.	.	.	.	.
34	111	B	81	CENTER FOR RESEARCH LIBRARIES		MICROFICHE CATALOG	65463	1200	49600	6546	122809
35	121	B	78	U OF CHICAGO	*	SCIENCE SERIALS	39607	.	15000	0	54607
36	122	AB	78	U OF CHICAGO		CULTURES CIVILIZATIONS	80949	4000	110444	0	195393
37	123	ABP	79	U OF CHICAGO		SOUTH ASIA	62373	1326	5050	0	68749
38	123	ABP	80	U OF CHICAGO		SOUTH ASIA	56842	8598	13600	0	79040
39	123	ABP	81	U OF CHICAGO		SOUTH ASIA	40570	750	14500	0	55820
40	124	A	80	U OF CHICAGO		IRANIAN MATERIALS	.	6000	169000	0	175000
41	131	B	81	CLEVELAND PUBLIC LIBRARY		PERIODICAL TITLES TO OCLC	74992	.	5314	0	80306
42	141	B	78	COLORADO STATE		U.S. GOVT DOCS COM TO OCLC	119190	21191	11260	67462	219103
43	141	B	79	COLORADO STATE		U.S. GOVT DOCS COM TO OCLC	118539	4494	14917	77050	215000
44	141	B	80	COLORADO STATE		U.S. GOVT DOCS COM TO OCLC	129600	4670	20568	81518	236356
45	151	P	79	COLUMBIA U		E. ASIAN MICROFILMING	30012	5050	.	16137	51199
46	152	P	79	COLUMBIA U		AVERY DRAWINGS	17220	.	50000	31661	98881
47	153	P	79	COLUMBIA U		ENGEL POSTERS	.	.	35000	16485	51485
48	154	P	79	COLUMBIA U		HEALTH SCIENCES	.	.	10802	5087	15889
49	155	B	79	COLUMBIA U		MASTER CONTROL MICROFILMING	21525	600	.	10421	32546

OBS	ID	TYPE	YEAR	NAME	NJNT	DESCRIPT	PERSFRIN	TREQSUP	CONTROTH	INDIRECT	TOTAL
50	161	A	79	CORNELL U		ASIAN COLLECTIONS	64487	8300	82762	39348	194897
51	161	A	80	CORNELL U		ASIAN COLLECTIONS	117847	9800	54984	70782	253413
52	161	A	81	CORNELL U		ASIAN COLLECTIONS	127172	8400	73300	75767	284639
53				JOHN CAERAR			.	.	.	.	.
54	181	B	81	DARTMOUTH		POLAR STUDIES TO RLIN	83700	8910	4100	24650	121360
55	182	P	81	DARTMOUTH		POLAR RESOURCES MICROFILMING	15400	3000	4100	6140	28640
56	191	A	78	DUKE U	DUKE	NATIONAL HUMANITIES CENTER	.	.	100000	0	100000
57	191	A	78	DUKE U	N CAROLINA	NATIONAL HUMANITIES CENTER	.	.	100000	0	100000
58	191	A	78	DUKE U	N CAROLINA STATE	NATIONAL HUMANITIES CENTER	.	.	50000	0	50000
59	191	A	80	DUKE U	DUKE	NATIONAL HUMANITIES CENTER	.	.	100000	0	100000
60	191	A	80	DUKE U	N CAROLINA	NATIONAL HUMANITIES CENTER	.	.	100000	0	100000
61	191	A	80	DUKE U	N CAROLINA STATE	NATIONAL HUMANITIES CENTER	.	.	50000	0	50000
62				EMORY U			.	.	.	.	.
63	211	B	81	U OF FLORIDA	FLORIDA	ARL SERIALS CONSER TO OCLC	87200	22615	15778	128160	253753
64	211	B	81	U OF FLORIDA	EMORY	ARL SERIALS CONSER TO OCLC	32750	7920	11479	13297	65446
65	211	B	81	U OF FLORIDA	FLORIDA STATE	ARL SERIALS CONSER TO OCLC	37582	8428	11300	20216	77526
66	211	B	81	U OF FLORIDA	GEORGIA	ARL SERIALS CONSER TO OCLC	39642	6500	15004	8180	69326
67	211	B	81	U OF FLORIDA	KENTUCKY	ARL SERIALS CONSER TO OCLC	33934	8804	10594	18562	71894
68	211	B	81	U OF FLORIDA	MIAMI	ARL SERIALS CONSER TO OCLC	48282	8450	14900	19645	91277
69	211	B	81	U OF FLORIDA	TENNESSEE	ARL SERIALS CONSER TO OCLC	41133	7672	11725	24551	85081
70	211	B	81	U OF FLORIDA	VPI	ARL SERIALS CONSER TO OCLC	39249	6720	14500	25228	85697
71				FLORIDA STATE			.	.	.	.	.
72	231	B	78	FOLGER SHAKESPEARE		RLIN NETWORK	.	14400	.	0	14400
73	232	P	78	FOLGER SHAKESPEARE		PHOTO DUP MODERNIZATION	.	12011	.	0	12011
74	233	P	78	FOLGER SHAKESPEARE		CONSERV MODERNIZATION	.	15612	.	0	15612
75	234	A	78	FOLGER SHAKESPEARE		FILL GAPS	.	.	100000	0	100000
76				U OF GEORGIA			.	.	.	.	.
77	251	P	78	HARVARD		FILM JUDAICA/EPHEMERA	53729	.	200000	129402	383131
78	251	P	79	HARVARD		FILM JUDAICA/EPHEMERA	42968	.	155708	101324	300000
79	251	P	80	HARVARD		FILM JUDAICA/EPHEMERA	62687	.	200000	133970	396657
80	251	P	81	HARVARD		FILM JUDAICA/EPHEMERA	37582	.	75000	55165	167747
81	261	B	81	U OF HAWAII		PACIFIC COLLECTION TO OCLC	126000	.	.	24000	150000
82	271	P	78	HUNTINGTON LIBRARY		MANUSCRIPT CONSERVATION	12519	12600	.	6305	31424
83	271	P	79	HUNTINGTON LIBRARY		MANUSCRIPT CONSERVATION	12870	18360	31987	19092	82309
84	271	P	80	HUNTINGTON LIBRARY		MANUSCRIPT CONSERVATION	15570	12122	41442	19519	88653
85	272	P	78	HUNTINGTON LIBRARY		BINDERY	21944	34422	.	14148	70514
86	272	P	79	HUNTINGTON LIBRARY		BINDERY	28076	7000	10000	13613	58689
87	272	P	80	HUNTINGTON LIBRARY		BINDERY	36052	5825	23700	18822	84399
88	273	P	78	HUNTINGTON LIBRARY		PHOTO LAB	12813	22793	20000	13956	69562
89	273	P	79	HUNTINGTON LIBRARY		PHOTO LAB	19773	36745	.	17068	73586
90	273	P	80	HUNTINGTON LIBRARY		PHOTO LAB	26183	24385	.	8445	59013
91	274	P	79	HUNTINGTON LIBRARY		RARE BOOKS	8000	.	.	2416	10416
92	275	P	80	HUNTINGTON LIBRARY		INSTALL TS EQUIPMENT	.	.	15129	4357	19486
93	281	A	78	U OF ILLINOIS		SLAVIC REFERENCE	9934	.	19000	5749	34683
94	281	A	79	U OF ILLINOIS		SLAVIC REFERENCE	10754	.	42935	7042	60731
95	281	A	80	U OF ILLINOIS		SLAVIC REFERENCE	12285	.	44600	8035	64920
96	282	A	78	U OF ILLINOIS		CAVAGNA COLLECTION	10781	2763	15296	6693	35533
97	282	A	79	U OF ILLINOIS		CAVAGNA COLLECTION	17792	3566	30831	12080	64269
98	283	AB	81	U OF ILLINOIS		MATHEMATICS TO OCLC	48686	13617	28880	28817	120000
99	291	AB	78	INDIANA U		SERIALS CONSER TO OCLC	158311	30955	130332	69508	389106
100	291	AB	79	INDIANA U		SERIALS CONSER TO OCLC	135810	4837	.	59353	200000
101	292	B	81	INDIANA U		19TH CENTURY PLAYS TO OCLC	92718	11177	1250	39855	145000
102	301	BP	81	IOWA STATE		FILM ARCHIVES TO OCLC	47833	41107	19139	20696	127975
103	311	B	79	U OF KANSAS		HIST OF ECONOMICS TO OCLC	73282	7173	6520	28025	115000
104	311	B	80	U OF KANSAS		HIST OF ECONOMICS TO OCLC	96300	.	7750	36417	140467
105				U OF KENTUCKY			.	.	.	.	.

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OBS	ID	TYPE	YEAR	NAME	NJNT	DESCRIPT	PERSFRIN	TREQSUP	CONTROTH	INDIRECT	TOTAL
106				U OF MIAMI			.	.	.	.	.
107	341	B	79	U OF MICHIGAN	MICHIGAN	SERIALS TO OCLC & RLIN	195450	3800	250	0	199500
108	341	B	79	U OF MICHIGAN	MICHIGAN STATE	SERIALS TO OCLC & RLIN	81100	1500	1400	0	84000
109	341	B	79	U OF MICHIGAN	WAYNE STATE	SERIALS TO OCLC & RLIN	65800	600	100	0	66500
110	341	B	80	U OF MICHIGAN	MICHIGAN	SERIALS TO OCLC & RLIN	353229	3800	3200	0	360229
111	341	B	80	U OF MICHIGAN	MICHIGAN STATE	SERIALS TO OCLC & RLIN	148901	1500	1400	0	151801
112	341	B	80	U OF MICHIGAN	WAYNE STATE	SERIALS TO OCLC & RLIN	113193	600	800	0	114593
113	341	B	81	U OF MICHIGAN	MICHIGAN	SERIALS TO OCLC & RLIN	166950	3800	250	0	171000
114	341	B	81	U OF MICHIGAN	MICHIGAN STATE	SERIALS TO OCLC & RLIN	69100	1500	1400	0	72000
115	341	B	81	U OF MICHIGAN	WAYNE STATE	SERIALS TO OCLC & RLIN	56300	600	100	0	57000
116				MICHIGAN STATE			.	.	.	.	.
117	361	B	78	MISSOURI BOTANICAL	MISSOURI BOT	RECATALOG TO OCLC	38532	7620	15600	27652	89404
118	361	B	78	MISSOURI BOTANICAL	NY BOTANICAL	RECATALOG TO OCLC	58590	10410	8276	33320	110596
119	361	B	80	MISSOURI BOTANICAL	MISSOURI BOT	RECATALOG TO OCLC	54492	1500	16416	21672	94074
120	361	B	80	MISSOURI BOTANICAL	NY BOTANICAL	RECATALOG TO OCLC	91885	8779	13737	37382	151783
121	361	B	79	MISSOURI BOTANICAL	*	RECATALOG TO OCLC	97122	18030	23876	60972	200000
122				NY BOTANICAL			.	.	.	.	.
123	381	P	78	NEW YORK PUBLIC LIBRARY		MICRORECORDING	47780	.	52625	8895	109300
124	382	P	78	NEW YORK PUBLIC LIBRARY		DOCUMENTARY	111155	.	.	20695	131850
125	382	P	79	NEW YORK PUBLIC LIBRARY		DOCUMENTARY	67115	.	.	7885	75000
126	383	P	78	NEW YORK PUBLIC LIBRARY		PAMPHLETS	73565	5580	216710	13695	309550
127	383	P	79	NEW YORK PUBLIC LIBRARY		PAMPHLETS	91700	1250	115000	17050	225000
128	384	BP	81	NEW YORK PUBLIC LIBRARY	NY PUBLIC	ART & ARCH TO RLIN	129580	.	60000	24360	213940
129	384	BP	81	NEW YORK PUBLIC LIBRARY	COLUMBIA	ART & ARCH TO RLIN	145200	12800	17400	56649	232049
130	384	BP	81	NEW YORK PUBLIC LIBRARY	NYU	ART & ARCH TO RLIN	136899	24957	15973	38998	216827
131	391	B	78	NY STATE DEPT OF EDUCATION	*	RLRAP NYSIL SUNY TO OCLC	193208	41217	15575	0	250000
132	391	B	79	NY STATE DEPT OF EDUCATION	*	RLRAP NYSIL SUNY TO OCLC	201011	4432	27692	16865	250000
133	391	B	80	NY STATE DEPT OF EDUCATION	*	RLRAP NYSIL SUNY TO OCLC	237899	10000	36107	21843	305849
134				NEW YORK U			.	.	.	.	.
135	411	P	81	NEWBERRY		HISTORY REPLACEMENT TO OCLC	37058	1100	93500	0	131658
136	421	B	79	U OF NORTH CAROLINA	*	GENERAL RESEARCH NETWORK	94077	45500	31284	49654	220515
137	421	B	80	U OF NORTH CAROLINA	*	GENERAL RESEARCH NETWORK	103993	160490	15140	64898	344521
138	421	B	81	U OF NORTH CAROLINA	*	GENERAL RESEARCH NETWORK	152336	.	35815	82786	270937
139				NORTH CAROLINA STATE			.	.	.	.	.
140	441	B	79	NORTHWESTERN U		AFRICANA FILES/INDEX	51069	3100	4500	30383	89052
141	442	A	79	NORTHWESTERN U		AFRICANA DOCUMENTS	55727	1450	70618	33153	160948
142	451	A	81	OHIO STATE		ENHANCE AG, ED, ENGIN	22979	750	73051	0	96780
143	452	B	81	OHIO STATE		CONVERSION FOR OCLC	72470	750	9000	0	82220
144	461	BP	80	U OF PENNSYLVANIA		17TH CENTURY IMPRINTS TO RLIN	65160	.	36500	66079	167739
145	471	B	78	PRINCETON U		GEST CHINESE TEXTS	44270	2000	.	11105	57375
146	471	B	79	PRINCETON U		GEST CHINESE TEXTS	40034	4925	.	10568	55527
147	472	B	78	PRINCETON U		LITERARY MANUSCRIPTS	32620	2500	.	8429	43549
148	472	B	79	PRINCETON U		LITERARY MANUSCRIPTS	39598	2520	20000	12316	74434
149	472	B	80	PRINCETON U		LITERARY MANUSCRIPTS	42740	1500	10000	13018	67258
150	473	B	78	PRINCETON U		ACLU ARCHIVES	30989	750	.	7617	39356
151	473	B	79	PRINCETON U		ACLU ARCHIVES	29322	750	.	7217	37289
152	474	B	78	PRINCETON U		ARABIC MANUSCRIPTS	30290	34480	.	14345	79115
153	474	B	79	PRINCETON U		ARABIC MANUSCRIPTS	37254	29635	.	15861	82750
154	474	B	80	PRINCETON U		ARABIC MANUSCRIPTS	40200	29480	.	16723	86403
155	481	ABP	79	RUTGERS U		INST OF JASS TO OCLC	.	1500	23388	0	24888
156	482	B	79	RUTGERS U		GINSBURG SOVIET LAW TO RLIN	66776	300	28000	36779	131855
157	483	B	79	RUTGERS U		ALCOHOL STUDIES	3282	.	20000	1807	25089
158	484	P	79	RUTGERS U		WORKS PROJECTS	8234	6900	300	2734	18168
159	491	B	81	U OF SOUTH CAROLINA		FOX MOVIETONEWS	53370	17180	60000	41450	172000
160	501	B	79	U OF SOUTHERN CALIFORNIA		UNIVERSAL PICTURES MSS	103712	2250	33848	60190	200000
161	502	AB	81	U OF SOUTHERN CALIFORNIA		GERONTOLOGY CENTER	51423	8130	28100	39042	126695

OBS	ID	TYPE	YEAR	NAME	NJNT	DESCRIPT	PERSFRIN	TREQSUP	CONTROTH	INDIRECT	TOTAL
162	511	ABP	81	SOUTHERN ILLINOIS U		LIVING PHILOSOPHERS	46561	3200	103809	26430	180000
163	521	B	81	STANFORD U		EARLY AMERICAN IMPRINTS TO RL	126663	1932	28756	51662	209013
164				SUNY -ALBANY			.	.	.	.	.
165				SUNY -BINGHAMTON			.	.	.	.	.
166				SUNY -BUFFALO			.	.	.	.	.
167				SUNY -STONY BROOK			.	.	.	.	.
168				U OF TENNESSEE			.	.	.	.	.
169	581	A	78	U OF TEXAS AT AUSTIN		LATIN AMERICAN	.	.	76430	0	76430
170	581	A	79	U OF TEXAS AT AUSTIN		LATIN AMERICAN	.	.	28558	0	28558
171	581	A	80	U OF TEXAS AT AUSTIN		LATIN AMERICAN	.	.	21546	0	21546
172	582	B	78	U OF TEXAS AT AUSTIN		LA INVENTORY & CATALOG	72023	.	5700	30693	108416
173	582	B	79	U OF TEXAS AT AUSTIN		LA INVENTORY & CATALOG	63889	.	.	26852	90741
174	582	B	80	U OF TEXAS AT AUSTIN		LA INVENTORY & CATALOG	68853	.	.	26862	95715
175	583	B	78	U OF TEXAS AT AUSTIN		LA DATA ENTRY CONSER TO OCLC	45493	143	131	19387	65154
176	583	B	79	U OF TEXAS AT AUSTIN		LA DATA ENTRY CONSER TO OCLC	21616	.	.	9085	30701
177	583	B	80	U OF TEXAS AT AUSTIN		LA DATA ENTRY CONSER TO OCLC	41536	.	.	16203	57739
178	584	BP	81	U OF TEXAS AT AUSTIN		MEXICAN LA SERIALS	108850	21114	3016	41020	174000
179	591	B	81	U OF UTAH		LANDMARKS OF SCIENCE TO OCLC	80675	21995	.	8213	110883
180				VANDERBILT			.	.	.	.	.
181	611	B	79	U OF VIRGINIA	VIRGINIA	HISTORICAL ITEMS TO OCLC	33060	18400	4020	19500	74980
182	611	B	79	U OF VIRGINIA	VANDERBILT	HISTORICAL ITEMS TO OCLC	61070	15322	3220	0	79612
183	611	B	79	U OF VIRGINIA	S CAROLINA	HISTORICAL ITEMS TO OCLC	33570	18400	4020	16500	72490
184	611	B	79	U OF VIRGINIA	ALABAMA	HISTORICAL ITEMS TO OCLC	36627	15400	2600	18291	72918
185				VIRGINIA POLYTECHNIC INSTITUTE			.	.	.	.	.
186	631	B	78	U OF WASHINGTON		SERIALS TO WLN AND OCLC	69566	.	.	23761	93327
187	632	B	80	U OF WASHINGTON		FOREST RESOURCES TO OCLC & WL	91335	8300	25686	24679	150000
188	633	BP	81	U OF WASHINGTON		PACIFIC NORTHWEST	46321	13210	6750	12069	78350
189	634	BP	81	U OF WASHINGTON		HISTORICAL PHOTOGRAPHY	15579	3118	33265	10028	61990
190	635	P	81	U OF WASHINGTON		ARCHIVES & MANUSCRIPTS	25959	3207	.	5519	34685
191				WAYNE STATE			.	.	.	.	.
192	651	A	78	U OF WISCONSISN		RESOURCES	.	.	50000	0	50000
193	651	A	79	U OF WISCONSISN		RESOURCES	.	.	100000	0	100000
194	651	A	81	U OF WISCONSISN		RESOURCES	.	.	7500	3150	10650
195	652	B	78	U OF WISCONSISN		SERIALS CONSER TO OCLC	17606	8490	500	8659	35255
196	652	B	79	U OF WISCONSISN		SERIALS CONSER TO OCLC	24153	.	904	11501	36558
197	653	P	79	U OF WISCONSISN		UNIQUE MATERIALS	4796	26221	11547	2878	45442
198	654	P	81	U OF WISCONSISN		RARE GERMAN MATERIALS	32295	66926	.	18733	117954
199	661	P	78	YALE U		MANUSCRIPTS/ARCHIVES	52093	33702	.	33963	119758
200	661	P	79	YALE U		MANUSCRIPTS/ARCHIVES	59970	17853	.	38939	116762
201	662	P	78	YALE U		HISTORICAL SOUND RECORDINGS	8911	15244	.	5887	30042
202	662	P	79	YALE U		HISTORICAL SOUND RECORDINGS	.	2000	41238	0	43238
203	663	BP	80	YALE U		PHOTOCOPY EPHEMERA CATALOG TO	117700	52815	19060	101360	290935
204	663	BP	81	YALE U		PHOTOCOPY EPHEMERA CATALOG TO	136175	8128	.	83697	228000

NOTES ON ABBREVIATIONS FROM TABLE ABOVE:

OBS: A line count for each project year.
ID: An identifying number for each institution and project, e.g., 663 is institution 66 (Yale), its project 3;
TYPE: Type of project activity: A = Acquisitions; B = Bibliographic Control and Access; P = Preservation; combinations of letters designate multi-functional project activity;
PERSFRIN: The budget allocated for personnel and fringe benefits;
TREQSUP: The budget allocated for travel, equipment, and supplies;
CONTROTH: The budget allocated for contractural and other expense;
INDIRECT: The budgeted amount for indirect charges, as a percentage of direct costs or personnel costs;
TOTAL: The sum of the budget lines allocated for a project.

APPENDIX E: ARL LIBRARY INDEX 1979-1980

ARL Library Index, 1979-1980

NOTE: This Index was reproduced from the ARL Statistics, 1979-80 (Washington, DC: ARL, 1980), p. 25.

1.	Harvard	3.00
2.	Calif., Berkeley	2.20
3.	Yale	2.09
4.	Stanford	2.02
5.	Calif., Los Angeles	1.97
6.	Illinois	1.95
7.	Michigan	1.77
8.	Columbia	1.74
9.	Toronto	1.67
10.	Cornell	1.62
11.	Texas	1.61
12.	Wisconsin	1.55
13.	Washington	1.45
14.	Minnesota	1.16
15.	North Carolina	.98
16.	Indiana	.94
17.	British Columbia	.92
18.	Princeton	.88
19.	Arizona	.88
20.	Chicago	.87
21.	Ohio State	.87
22.	Rutgers	.80
23.	Florida	.78
24.	Virginia	.74
25.	Pennsylvania State	.71
26.	Pennsylvania	.68
27.	Calif., Davis	.64
28.	New York	.48
29.	Georgia	.44
30	Southern California	.36
31.	Michigan State	.34
32.	Duke	.34
33.	Northwestern	.30
34.	Iowa	.29
35.	Alberta	.28
36.	SUNY-Buffalo	.27
37.	Maryland	.18
38.	Kansas	.11
39.	Pittsburgh	.07
40.	Virginia Polytechnic	-.02
41.	Calif., San Diego	-.03
42.	Kentucky	-.07
43.	Calif., Santa Barbara	-.10
44.	Hawaii	-.13
45.	McGill	-.17
46.	Missouri	-.18
47.	Southern Illinois	-.18
48.	Cincinnati	-.24
49.	Washington State	-.28
50.	Arizona State	-.30
51.	MIT	-.32
52.	Louisiana State	-.33
53.	Syracuse	-.34
54.	Boston	-.36
55.	South Carolina	-.36
56.	Wayne State	-.36
57.	Washington, St. Louis	-.38
58.	Johns Hopkins	-.38
59.	Howard	-.39
60.	Tennessee	-.40
61.	Florida State	-.43
62.	Temple	-.43
63.	Texas A&M	-.47
64.	Connecticut	-.48
65.	Iowa State	-.49
66.	Nebraska	-.49
67.	Purdue	-.53
68.	Oklahoma	-.55
69.	Western Ontario	-.56
70.	Brigham Young	-.59
71.	Emory	-.60
72.	Utah	-.61
73.	Rochester	-.62
74.	Georgetown	-.63
75.	SUNY-Stony Brook	-.64
76.	Massachusetts	-.70
77.	York	-.70
78.	Vanderbilt	-.71
79.	Miami	-.77
80.	Colorado	-.86
81.	Houston	-.88
82.	Queen's	-.89
83.	Oregon	-.92
84.	SUNY-Albany	-.97
85.	New Mexico	-.97
86.	Calif., Riverside	-.98
87.	Tulane	-1.02
88	Brown	-1.06
89.	Dartmouth	-1.09
90.	Colorado State	-1.10
91.	McMaster	-1.13
92.	Saskatchewan	-1.28
93.	Case Western Reserve	-1.30
94.	Notre Dame	-1.34
95.	Alabama	-1.34
96.	Guelph	-1.42
97.	Rice	-1.44
98.	Kent State	-1.77
99.	Oklahoma State	-1.93

APPENDIX F: PROJECT ANALYSIS FORMS

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Project Directors, Title II-C

I have been asked by the U.S. Department of Education to write an historical review of the funded Title II-C projects, 1978 - 1981. The grant was awarded in October, 1981 with a completion date of March, 1982 which is a fairly short period to read and digest the proposals and reports for nearly 100 funded projects.

The written report is expected to set the individual project objectives in the framework of national goals, especially in the areas of bibliographic control of serials and conservation of library materials. It will address project objectives which were achieved as well as those which failed, with an attempt to identify issues and problems to be resolved or at least anticipated for future projects of the scope of Title II-C. Finally, the report is expected to indicate institutional committment to the project objectives in terms of continuation of project activity beyond the end of Title II-C funding, supported either by local funds or funds from external sources, such as from the National Endowment for the Humanities, NSF, the Associations or other private sources.

I plan to collect information by reading project documentation, by enlisting your assistance through the attached questions supplemented by phone calls to as many of you as possible, and by discussing the issues during ALA Midwinter in Denver with those of you who can attend. Obviously, I have a lot of ground to cover in a short period, so your timely advice and candid comments are vital to the success of this review of Title II-C.

Please let me know if you plan to attend Midwinter meetings in January so I can make plans for meeting space. Also, may I have your response to the attached questions within ten days of receipt of this letter? Thank you so much for understanding the pressures of time in this project!

Sincerely,

Abigail Studdiford

November 27, 1981

ENC:

HISTORICAL REVIEW OF FUNDED TITLE II-C PROJECTS 1978 - 1981

INSTITUTION: _____

Joint project with Institution 1. _____

2. _____

3. _____

Project Title: _____

(please use one sheet for each project)

Project Supervisor: _____ *phone;* ( )

IN YOUR ESTIMATION: Were the objectives of this project achieved as planned and proposed? Please use Table below.

PROJECT OBJECTIVES BRIEF DESCRIPTION OF EACH OBJECTIVE	OBJECTIVES MET AS DESIGNED (yes/no)	OBJECTIVES MET BUT PLEASE NOTE CONSIDERATIONS[a]	OBJECTIVES PARTIALLY MET PLEASE SPECIFY[b]	OBJECTIVES NOT MET PLEASE SPECIFY[c]
1.				
2.				
3.				
4.				

a,b,c for example: delay in notification; hard to recruit/train staff; delay in equipment deliveries; underestimated size of project; technical problems (specify); change in priorities; change in methodology; other, please describe. *USE SPACE BELOW FOR NOTES*

1.				
2.				
3.				
4.				

HISTORICAL REVIEW OF FUNDED TITLE II-C PROJECTS 1978 - 1981

ASSESSMENT OF INSTITUTIONAL COMMITTMENT

Project Title: _____

(please use one sheet for each project)

Project Duration: __ one year ____ to ____ extended to ____

__ two years ____ to ____ extended to ____

__ three years ____ to ____ extended to ____

Nature of this Project (circle appropriate category for this project)

collection development preservation and conservation bibliographic control

SERIALS MONOGRAPHS

ASSESSMENT OF INSTITUTIONAL COMMITTMENT (staff, resources, material, priorities, equipmen

INSTITUTIONAL COMMITTMENT	Prior to Title II-C Funding			During Title II-C Funding			After Title II-C Funding			Future Plan of Activity for these objectives		
	Adequate	Minimal	None	Adequate	Minimal	None	Adequate	Minimal	None	Adequate	Minimal	None
1. Acquisition of items to be handled by this II-C project												
2. Technology committment (extent of resources available to fulfill needs of this project)												
3. Space committment (extent of resources available to fulfill needs of this project)												
4. Equipment committment (extent of resources available to fulfill needs of this project)												
5. Staff committment (extent of resources available to fulfill needs of this project)												
6. External funding available for objectives of project ::specify source(s) and amounts												

IN YOUR OPINION: How does the above described Title II-C project further national goals in library and information services?